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ABSTRACT

Summarizing the second year of a 3-year evaluation project, this nine-chapter report focuses on three Utah programs under Title IV of the Elementary and Secondary Education Act. The first program, Title IV-Part B (IV-B), provides funds for local education agency (LEA) purchases of educational materials and equipment; the second, Title IV-Part C (IV-C), allocates funds for LEA adop tion or development of programs to meet local educational needs; and the third program, called "Title IV-C Strengthening," grants money to assist state educational agencies (SEAs) in administering IV-C funds. Evaluation activities included onsite school visits, questionnaire surveys, and interviews with LEA and SEA personnel. Chapter 1 discusses the 15 components in the evaluation workscope. Each of the eight subsequent chapters presents the evaluation methods, results, conclusions, and recommendations for different aspects of the three programs. Aspects covered include onsite evaluation of IV-C projects, reasons for LEA involvement in IV-C programs, LEA continuation of successful IV-C projects, proposal request and review processes, provision of technical assistance on IV-C to LEAs, LEA personnel perceptions of IV-C, management and effects of IV-B funds, and SEA personnel perception of IV-C Strengthening funds. Report appendices appear in a related document. (Author/RW)

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FINAL REPORT

VOLUME 1

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EVALUATION OF OPERATION AND EFFECTS OF TITLE IV EXPENDITURES IN UTAH

Submitted to:

Utah State Office of Education

February 1982

by:

WASATCH INSTITUTE
FOR RESEARCH AND EVALUATION

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EXECUTIVE SUMMARY OF 1980-81 TITLE IV EVALUATION

In February 1980, the Utah State Office of Education (USOE) contracted with the Wasatch Institute for Research and Evaluation (formerly Worthen & Associates) to conduct a three-year evaluation of the operation and effects of Title IV expenditures in Utah. Title IV is one component of the Elementary and Secondary Education Act through which approximately two million dollars of federal support for educational programs is distributed each year to local education agencies (LEAs) in Utah. The program consists of two primary components: (1) Part B, which provides formula grant money to local education agencies (LEAs) throughout the state to acquire additional media and instructional materials and equipment; and (2) Part C, which allocates money on a competitive basis for LEAs to either adopt existing validated programs, or develop new programs to meet locally identified, high priority educational needs. In addition to Parts B and C, the state Title IV administrative structure was responsible for Title V (Strengthening State Educational Agencies) monies from 1974-1978. During this time period, these monies were referred to as "Title IV-C Strengthening."

This report summarizes the activities and results of the second year of a three-year project. The first year of the evaluation focused primarily on the Part C component of Title IV. The second year (1980-81) continued and expanded the evaluation activities for Part C and expanded further to include an evaluation of Part B and Title IV-C Strengthening activities. The three-year evaluation work scope was designed so that most of the data and information needed by the Title IV State Advisory Council to prepare their three-year Title IV evaluation report for the United States Department of Education would be gathered during this three year evaluation.

This executive summary briefly summarizes the most important results and conclusions of the second year of the Title IV evaluation. These results and conclusions are based on a broad range of evaluation activities including external on-site evaluations to Part C adoptable and developmental projects, questionnaires, and structured interviews with LEA staff concerning various aspects of Title IV operation and impact (e.g., continuation of Part C projects, procedures for soliciting and reviewing proposals, allocation of Part B money within the LEA, assistance from Utah State Office of Education (USOE) staff, procedures for establishing media needs, equity and appropriateness of USOE procedures for funding allocation), and on-site visits to Part B projects. To conserve space, the many activities and details of the evaluation procedures are not described in this section. Additional information about procedures, results and conclusions is contained in the body of the 1980-81 Final Report.

Title IV - Part C

Observations concerning Part C of the 1980-81 evaluation study are summarized in this section of the Executive Summary.

1. Results of external on-site evaluations to Part C projects. Seventeen Part C adoptable and developmental projects were visited by external on-site evaluation teams during 1980-81. Training of evaluation team members and a structured format for conducting the evaluation allowed results of the evaluations to be compared across projects with respect to how well the basic purposes of Title IV-C were being accomplished. Using a percentage rating criteria shown on the next page, each project was rated by evaluation team members with respect to how well they were accomplishing the basic purposes of Title IV-C.

RATING KEY

	PERCENTAGE RANGE FOR EACH CATEGORY
Complete or near complete compliance in meeting the purposes of Title IV - Part C suggested by this question.	90-100%
Minor problems in this area, but not serious enough to jeopardize the success of the project in accomplishing the purposes of Title IV - Part C suggested by this question.	75-89%
Moderate problems in this area which may be serious enough to jeopardize the success of the project in accomplishing the purposes of Title IV - Part C suggested by this question.	50-74%
Major problems in this area which are definitely serious enough to jeopardize the success of the project in accomplishing the purposes of the Title IV - Part C suggested by this question.	25-49%
Little or no compliance in this area. Project is not accomplishing the purposes of Title IV - Part C suggested by this question.	0-25%

The results of on-site evaluation visits (shown in Table 1) suggest that Title IV-C funding is making a very positive contribution to the quality of education within Utah schools. Although there are a few exceptions, most projects are successful and are experiencing only minor difficulties in meeting the purposes and requirements of Title IV-C funding.

2. Educational needs addressed by Part C. Title IV-C projects address some of the most urgent needs of Utah LEAs across a broad spectrum of educational issues including integration of arts into basic skills areas, teacher advisement of students, vocational academics for handicapped children,

Table 1
Ratings of Adoptable and Developmental Projects Concerning On-site Evaluation Questions

ADOPTABLE PROJECTS		The Ogden School Volunteer Program	Talents Unlimited Project	Media Special Learning Centers	Talents Unlimited	GEMS	Institute for Political and Legal Education	Waterloo Follow Through Project	X̄	S.D.	%
1. Activities conform to plan	(60)	54	30	45	54	60	25	58	46.6	13.9	77.7
2. Priority need established	(10)	10	10	9	10	10	10	10	9.9	.4	99.0
3. Quality evaluation	(30)	18	5	5	22	20	5	23	14.0	8.6	46.7
4. Intent of continuation	(10)	27	30	8	26	30	28	28	25.3	7.8	84.3
5. Involvement of private schools	(10)	10	N/A	N/A	N/A	7	4	7	7.0	2.4	70.0
6. Understand requirements and purpose	(10)	8	9	0	10	10	4	10	7.3	3.9	73.0
7. Considered available options	(10)	10	7	3	10	10	8	8	8.0	2.5	80.0
8. Contact with developer	(10)	10	6	8	10	10	6	10	8.6	1.9	86.0
9. Expenditures and accounting	(30)	30	25	15	15	28	26	28	23.9	6.3	79.7
OVERALL RATING	(200)*	177	122	93	157	185	116	182	150.2		
Percentage		88.5	64.2	48.9	82.6	92.5	58.0	91.0	75.3		

DEVELOPMENTAL PROJECTS		Integrated Arts	Teacher Advisement	Computers in the High School Media	Tri-District Integrated Arts Program	Teacher Advisement/ Parent Training Project	Improving Teacher-Pupil Interaction Project	Bear River Regional Arts Education	Precision Teaching Project	Vocational Academics for High School Sp. Ed. Students	A Complete Art Program			
1. Activities conform to plan	(20)	19	12	16	16	20	20	20	19	19	17	17.8	2.6	89.0
2. Priority need established	(10)	8	10	8	10	4	9	5	10	10	10	8.4	2.2	84.0
3. Quality evaluation	(20)	15	10	15	10	18	17	13	15	18	15	14.6	2.9	73.0
4. Intent of continuation	(10)	9	9	8	8	7	7	5	10	8	10	8.1	1.5	81.0
5. Involvement of private schools	(5)	N/A	5	5	5	N/A	N/A	N/A	N/A	N/A	5	5.0	-	100.0
6. Understand requirements and purpose	(5)	5	5	5	5	3	5	4	5	5	5	4.7	.7	94.0
7. Identify existing projects	(10)	10	10	10	10	7	10	10	9	10	10	9.6	1.0	96.0
8. Expenditures and accounting	(20)	19	20	20	20	18	20	20	20	20	19	19.6	.7	98.0
OVERALL RATING	(100)*	85	81	87	84	77	88	77	88	90	91	87.4		
Percentage		89.5	81.0	87.0	84.0	81.0	92.6	81.0	92.6	94.7	91.0	87.4		

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*Total Points were 5% less for those districts which did not have any Title IV eligible schools within their boundaries.

utilization of volunteers, instruction in basic skill areas, and early childhood learning programs, to name only a few. The importance of the needs addressed by IV-C projects is emphasized by the perceptions of both district and building LEA staff, the perceptions of external on-site evaluations, and the fact that Title IV-C projects are frequently continued and expanded after Title IV-C money is no longer available. In the questionnaire survey study, most LEA respondents indicated their projects were successful in responding to the originally identified need, more than half of the projects had been incorporated into the districts core curriculum, and 80% of the respondents cited positive changes in their district which were traceable to the Title IV project. Flexibility of Title IV-C money in addressing locally identified high priority needs was viewed by districts as one of the program's primary attributes.

3. Advantages of appropriate use of the adoption process. Adoptable and developmental projects are making substantial contributions in different ways to the quality of education in Utah. Whereas developmental projects can respond to important, unique needs of a district, adoptable projects are often a cost-effective method for a district to utilize the developmental work of other school systems which have already addressed similar needs. During 1980-81, adoptable projects in Utah cost an average of $10,615 per year, and the average cost of developmental projects was $20,195 per year. Most adoptable projects were funded for only one year whereas most developmental projects received three years of funding. Results from 1980-81 indicate that by adopting programs which have already demonstrated their effectiveness, school systems can respond to important needs at a fraction of the cost of what total development would cost. In addition, most projects were conscientious about "adopting" the validated project rather than "adapting" the project to the

point that it was no longer recognizable and/or was employed for purposes it was not designed to serve.

4. Instructional benefit of external on-site evaluations. There is substantial evidence that the external on-site evaluations resulted in more effective projects and provided important instruction for project directors. Title IV-C developmental projects which were visited in 1979-80 showed substantial improvement when visited again in 1980-81 and many of the improvements were directly related to conclusions and recommendations made by the earlier on-site evaluation teams. Most of the difference in total points awarded to adoptable versus developmental projects (see Table 1) can be explained plausibly by the fact that adoptable projects are one-year projects, whereas developmental projects visited had been visited before and thus had time to correct the previously identified deficiencies. The substantial contribution made by external on-site evaluation visits to the success of projects is an important but often overlooked benefit of a systematic and comprehensive program of project evaluation.

5. Problems with projects' internal evaluation procedures. All Title IV-C projects are expected to conduct internal evaluations to determine whether the project is effective in accomplishing its objectives and to make decisions regarding local continuation of the project following the conclusion of Title IV-C funding. Procedures for designing and implementing internal project evaluation is by far the weakest component of both adoptable and developmental IV-C projects. Weaknesses in program evaluation activities within each project contribute substantially to the problems which projects have in meeting the purposes of Title IV-C. Many of the districts' problems with internal project evaluations are attributable to the lack of qualified evaluation staff or the fact that staff with the necessary expertise are

already committed to other tasks. Unfortunately, the USOE system for providing technical assistance to these projects, although well publicized, is used by relatively few projects.

6. Appropriateness of expenditures and financial accounting procedures. Projects were generally rated very high regarding their conformance with state and federal guidelines for expenditures and financial accounting. In no instance was there any indication that Title IV-C monies were misused. The two projects which were rated low on this dimension had problems because they did not know what was expected of them in terms of keeping financial records and back-up documentation. Such problems will probably be solved as districts become more accustomed to the idea of financial auditing as a part of regular on-site evaluation visits.

7. Factors discriminating between successful and unsuccessful projects. The most important factors which discriminated between successful and unsuccessful Title IV-C projects were the presence of qualified project staff and consultants, appropriate and early conceptualization of the objectives and procedures for the project, and the enthusiasm and commitment of the project staff. Other factors which were often mentioned by on-site evaluators as contributors to the success of the project included the commitment and support of the district, the broad-based involvement of classroom teachers, and the degree to which the project complemented and was compatible with existing district curricula and priorities.

8. Project directors perceptions of Part C external evaluation. More than 85% of the project directors expressed positive attitudes regarding the evaluation of their project. In their opinion, external on-site evaluations were fair, objective, and professionally conducted. Many project directors described the evaluation as a learning experience which suggested ways in

which their project could be improved and/or helped them better understand what the USOE expects of funded projects.

9. Contact of USOE staff with Part C projects. USOE staff contact with projects was viewed as very helpful and appropriate in the 1979-80 evaluation. Even more USOE contact with projects appears to have occurred in 1980-81. All but one project director reported contact with the USOE more than twice, and almost half of the project directors reported contacts six or more times. Several directors praised the good communications with USOE staff and noted that their questions were promptly and willingly answered. A number of people noted that the staff were generally available but did not bother them unduly. Technical assistance received through the USOE staff was also viewed positively.

10. Necessity of technical assistance in Title IV-C. During the first year of this study (1979-80), it was found that many districts had personnel who were generally qualified to operate a high-quality Title IV-C project but lacked relevant expertise in some important technical areas such as preparation of competitive proposals, internal evaluation, budget management, or final report preparation. These findings were substantiated during the 1980-81 evaluation -- the provision of technical assistance by the State is, for many LEAs, a critical determinate in project success. For example, many project proposals given low ratings in the 1981 proposal review process were judged inadequate in areas that could have been readily corrected had districts requested and obtained technical assistance during proposal preparation. In addition, several projects were appropriately given low ratings by onsite evaluators for inadequacies in their internal evaluation which could have been corrected by the use of outside technical assistance. It is apparent that the technical assistance provided to LEAs during the past

two years has markedly improved the quality and relevance of the Title IV-C projects in those districts which have utilized such assistance.

11. Procedures for increasing districts' use of technical assistance. Because costs for technical assistance are supported by the USOE, there would seem to be little reason for LEAs to fail to take advantage of technical assistance if it would lead to an improved project. Because the 1979-80 evaluation noted that very few districts took advantage of the "no-cost" technical assistance, increased efforts were made during 1980-81 to inform all Title IV-C project directors and district superintendents of the availability of technical assistance. These efforts were successful in increasing the number of LEAs which requested technical assistance; however, many districts who demonstrably would have benefited from technical assistance still failed to request such help, despite the eagerness and efforts of the USOE to provide assistance at no cost to LEAs. Therefore, it is recommended that the USOE not only continue to provide technical assistance as requested, but also that technical assistance, as appropriate, be assigned by proposal review panels at the time proposals are approved. Making the receipt of necessary technical assistance a condition of funding for a particular project should greatly enhance the quality and effectiveness of Title IV-C and related projects.

12. Model Title IV-C report. During prior years, Title IV-C reports submitted to the USOE have (a) used different formats, (b) been written at different levels of detail, and (c) been inappropriate or inadequate in some instances. These problems have made it nearly impossible to draw any conclusions about the Title IV-C program based on the project final reports. Therefore, during 1979-80, a model, annotated, final report was prepared by staff from the Wasatch Institute for Research and Evaluation (WIRE) and disseminated to all project directors. Using a hypothetical project, this

model report demonstrated the desired format and level of detail for final reports. The model report was designed as an instructional packet, with annotated comments inserted to explain the rationale and/or preferred content for specific sections of the report. During this second year of the evaluation, the model report was revised and extended to include segments of a contrasting "unacceptable" report to illustrate how reports should not be written. Unacceptable and acceptable versions of each report section were presented on facing pages so that project directors could compare and contrast adequate and inadequate handling of content for each section.

13. Title IV-C Request for Proposals. The Request for Proposals (RFP) for Title IV-C monies represents an important part of the total evaluation process because it establishes the criteria and level of expectations for the over-all evaluation during the subsequent year. In 1979-80, WIRE assisted the USOE and the State Advisory Council in expanding and refining the RFPs which had been used previously. During 1980-81, the RFP and model proposals were further refined and, where appropriate, expanded, and sent to all LEAs as part of the packet which accompanied the invitation to submit Title IV-C proposals.

14. Proposal review process. The procedures for reviewing and making decisions concerning LEA Title IV-C proposals were substantially refined, explicated, and systematized during the first year of the contract (1979-80). In 1980-81, WIRE's efforts were directed to further improvement of the proposal review process to assure objective and unbiased review of the proposals. Specific improvements in the procedures and supporting materials over the 1979-80 review included: (a) expanded training materials, protocols, and step-by-step directions to assure that all proposal reviewers were applying the criteria comparably and in harmony with the purposes of Title IV-C; (b) expanded training of all proposal reviewers to be certain that objectives of

Title IV-C were clearly understood; and (c) cross-rating of three proposals by different teams to assess the extent to which all teams applied criteria and awarded points comparably. For each proposal, the proposal review process provided USOE with individual reviewers' comments and ratings, the chairperson's summary of team members' reactions, and a recommendation regarding funding, based on pre-specified criteria established by USOE.

15. Quality of proposals received. Apparently the RFP and model proposals requested by USOE were effective in improving overall proposal quality significantly in 1980, with additional improvement in 1981. Proposals submitted in 1981 were generally of significantly higher quality than in the previous years, according to chairpersons and reviewers on this year's teams who had served in previous years. This observation was borne out by an analysis of 1979, 1980, and 1981 proposals. During the 1981 review, it was found that most LEAs followed the format requested in the RFP and outlined in the model proposals, although some LEAs totally ignored the proposal specifications in the RFP. Ratings were generally higher on proposals which followed the format required in the RFP, while proposals which ignored those requirements generally received lower ratings. District size was found to be unrelated to team ratings or recommendations for action, although technical assistance in proposal preparation was shown to be related to proposal quality. It would seem that technical assistance is particularly important for small districts who wish to submit successful proposals. Although a number of individuals indicated that the proposal submission guidelines and process have become overly rigorous, complex, and time consuming, the increasing quality of proposals indicates that the increased efforts required for proposal submission are well justified. The relationship found between high quality proposals and subsequently successful projects also suggests it

would be a serious error to allow concerns over the "rigor" of the RFP to result in dilution of the standards required of proposals for Title IV-C and similar programs.

16. Patterns of district participation in Title IV-C. A number of Utah school administrators have asserted t Title IV-C funding competitions tend to favor the larger, Wasatch-Front school districts. Despite the fact that the USOE has designed a method of distributing Title IV-C funds so as to eliminate competition between large and small schools, questions and concerns about the extent to which funding opportunities are equitable have been raised. To provide information regarding these questions, the 1980-81 evaluation included an analysis of Part C funding patterns and an analysis of factors that discriminate between districts that are heavily involved in Title IV-C funding and those which have had relatively little involvement in Title IV-C. Eighteen of Utah's 40 districts have participated relatively infrequently in Title IV-C. Four district/demographic variables were found to discriminate between the 22 districts with high levels and the 18 districts with low levels of involvement with Title IV-C funding. Districts which are relatively uninvolved in Title IV-C funding tend to be districts that have: (a) small enrollments, (b) more rapid increases in enrollments to cope with, (c) slightly higher proportions of their funds from federal sources, and (d) less innovativeness as judged by USOE observers.

17. Equity of Title IV-C participation. If Title IV-C competitions in Utah favor the larger, Wasatch Front school districts, it is for reasons beyond the control of the USOE, such as the factors summarized in the preceding paragraph or the fact that small, isolated rural districts tend to submit far fewer proposals than do the Wasatch Front districts. Indeed, the data collected in this evaluation component support the statement that the

USOE appears to have done an excellent job in their efforts to involve all of Utah's districts in ways that enable them to be equally competitive.

18. Reasons for low involvement in Title IV-C. Virtually all of the districts in the "low-involvement" sample indicated that they were fully aware of the opportunity to apply for Title IV-C funds and received the application guidelines in sufficient time to submit a proposal if they wished to do so. A majority of the "low-involvement" districts indicated that they often lacked staff to run projects even if they were funded and, therefore, frequently did not submit Title IV-C proposals. Several respondents from "low-involvement" districts indicated that Title IV-C is not well-suited to meet the needs of small, isolated, rural districts which are struggling to provide even the basic educational programs. In these cases the lack of involvement in Title IV-C should not be viewed as a product of USOE bias, but merely the fact that these districts view it as relatively low in priority in relation to what they perceive to be more critical educational needs. Several of the low involvement districts cited the lack of district staff with relevant technical expertise to write grants or to conduct technical aspects of the project. In some cases, districts indicated they have staff with relevant expertise but that those individuals are overcommited and lack time to develop proposals or perform other technical tasks. These reasons are rather puzzling in view of the ready availability of no-cost technical assistance the State has made available to any district which requested it, whether or not they have such expertise available on their staff. The USOE has made an energetic effort to inform all district superintendents and Title IV-C project directors of the availability of precisely the type of technical assistance which many "low-involvement" districts indicate is unavailable to them.

19. The operation of Title IV-C projects by regional service centers. The reaction of districts served by Title IV-C projects funded through regional service centers were generally positive, with most districts indicating that they feel that the funds that went into the service centers' Title IV-C projects have been used as productively as they would have been if they had gone directly to local school districts. Districts with a history of successful Title IV-C proposals were more inclined to rate their service centers' Title IV-C projects as addressing important needs in their district than were unsuccessful districts. Given the diversity of ratings of service centers' Title IV-C projects by districts within their regions, it seems clear, however, that USOE should not adopt a general policy about whether or not to provide Title IV-C money to regional service centers. Rather proposals from regional service centers should be judged on a project-by-project basis the same as other proposals.

20. Continuation of successful Title IV-C projects. Many Federal and State officials have expressed concerns about whether the "seed money" intent of the Title IV-C legislation is being subverted by districts eager to use Part C funds to support innovative programs for as long -- and only as long -- as such external funds could be obtained. Approximately 73% of the Title IV-C projects funded and completed in Utah between 1974 and 1979 have been continued in their district in some form. Of these, approximately 32% have been continued in a form significantly different from the original version of the project, 26% have been continued in their original form in the same school(s) in which they operated during their period of funding from the USOE, and approximately 15% have been expanded. (It should be noted that what was described as expansion in many districts did not represent expansion of the total project or program into other schools. Quite frequently only a few of

the materials or concepts embodied in the original project were used in the other schools into which the project was expanded.) These data indicate that Title IV-C frequently has long term impact and that only a small minority of projects are falling short of the "seed money" intent of Title IV-C funding.

21. Reasons for project continuation or discontinuation. The most frequent reason given for project discontinuation was that district funds were insufficient to continue the project after USOE funding was terminated. The second most frequent response was that the project was not effective enough to warrant continuation. Other factors found to be highly correlated with project discontinuation were: (a) failure to focus the Title IV-C project on a locally-determined need (as opposed to a State priority); and (b) lack of central district administration involvement or encouragement in the development of the project. It was also found that a significant proportion of the districts submitting Title IV-C projects over the years included in the study did not make provision -- at the time of proposal submission -- for how to continue the project after Title IV-C funding is completed. This finding was particularly important because of the strong and significant relationship found between *a priori* planning for continuation of successful projects and whether or not projects are, in fact, continued.

22. Benefits of Utah's Title IV-C projects. LEA staff cited three major benefits which had accrued from their district's involvement with the Title IV-C program as follows: (a) incentives to try new innovations that might not otherwise be attempted, given the press of providing basic educational opportunities; (b) reduced parochialism due to infusion of new ideas and techniques from outside; and (c) resources which enable schools to try ideas before they commit district resources to such endeavors.

23. Using Title IV-C as a model for future funding programs. The results of the Title IV-C evaluation, suggest that USOE should continue looking for ways to fund the development and adoption of innovative and exemplary programs. Although federal Title IV-C programs will no longer exist, the Title IV-C model has demonstrated its effectiveness in responding to high prioritity, locally identified needs. Data indicate that provision of technical assistance, systematic and well-defined criteria for making funding decisions, the availability of consistent guidelines and information to project directors, and the conduct of systematic and comprehensive program evaluations have all contributed substantially to successful programs. As the state considers procedures for providing support for innovative and exemplary program development and implementation, attention should be given to these factors.

Title IV - Part B

Observations concerning Part B of the 1980-81 evaluation study are summarized in this section of the Executive Summary.

1. Value of Part B. LEA staff report that the IV-B program is easy to administer and provides services and materials that could not otherwise be provided by the LEA. Most respondents felt that materials purchased with IV-B funds have increased academic achievement and improved the students' and teachers' attitudes. Teachers claim that items purchased with IV-B funds are critical to their teaching success, and district staff believe that IV-B purchases are used enough to merit their purchase and are used for their intended purposes. District and building level staff report that the amount of time required to operate Title IV-B is definitely justified by the additional resources Part B provides to schools.

2. LEA contact with USOE Part B staff. Staff from the USOE were viewed as helpful, competent in managing the IV-B program, expert in the subject area of media, and responsive to local needs and concerns. Districts were pleased with the amount of assistance they had received and had no suggestions for how their contact with USOE staff could be improved.

3. Allocation of IV-B money. IV-B money is generally allocated on a per capita basis to every school in the district. Building media committees, the state allocation formula, or the OPSCAN system are seldom used in allocating Part B funds, but building level administrators are pleased with the way funds are now allocated. Although most districts rate requests from principals and teachers as the most important of several factors influencing allocation decisions, in actual practice IV-B funds are generally allocated on a per capita basis. The most frequent exception to "per capita allocation" occurs when a new school is built and additional money is provided in the early years of that school to build up a sufficient media capability.

4. Decisions on what to purchase with IV-B funds. Formal committees composed of teachers, media coordinators, and principals do not meet regularly as outlined by the state guidelines. However, teachers, principals, and media coordinators are satisfied that they have sufficient influence on purchasing decisions via informal processes. Although LEA staff say they are satisfied with the process for making purchasing decisions, very few could explicate what the process is.

5. Usefulness of the OPSCAN system. The OPSCAN system which has been developed by USOE for assisting districts in conducting needs assessments, making purchasing decisions, and tracking their progress towards meeting their own goals is not used in the way it was designed. Most LEAs suggested that the OPSCAN guidelines need to be revised. More than half of the LEAs do not use

the OPSCAN printouts provided by the State Office at all. Further, the inconsistency in the way forms are completed suggests that districts do not understand the system or do not keep up to date in completing the forms. However, the information called for in the OPSCAN system does provide a set of informal and helpful guidelines for districts in terms of what they need. Most district staff view the guidelines as worthwhile, but optional, standards which can be interpreted loosely in light of the needs of specific schools.

6. Appropriateness of expenditures and financial accounting procedures. A number of minor problems regarding financial accounting and tracking of expenditures were identified in the Title IV-B evaluations. In the five districts visited, schools in two of the districts had made some purchases with Title IV-B money that were judged to be inappropriate. Approximately half of the schools had not labeled items purchased with IV-B funds, and many were not aware that labeling was required. There was some misunderstanding on the part of building principals and media coordinators about what could be purchased with IV-B funds, and less than half of the districts clearly understood the state formula for allocating IV-B funds. Three-fourths of those receiving additional IV-B funds for high-cost students were not targeting those funds on IV-B students, thus violating federal guidelines. None of these problems were judged serious in the sense that it appeared that funds were being intentionally misused. Instead, problems appeared to be attributable to the fact that LEAs did not seem to be fully informed about the spending guidelines for IV-B funds.

Title IV-C Strengthening (Title V)

Major findings from the analysis of Title IV-C Strengthening (Title V) evaluation activities are summarized in this section.

1. Nature of activities supported with Title IV-C strengthening funds. Title IV-C strengthening funds have focused on administration, curriculum development and dissemination, staff development, and technical assistance. The major emphasis has been on leadership and service functions with a minor emphasis on control functions. These emphases suggest a supportive administration rather than an authoritarian approach to leadership. Most activities are very consistent with State Board of Education goals and have demonstrated a concern for citizen input, systematic planning, and provision of assistance to districts rather than doing the work for them. There is a strong and rational relationship between the identification of needs and the selection and implementation of activities.

2. Value and impact of Title IV-C, strengthening funds. Interviews with USOE and district staff consistently indicated that Title IV-C strengthening activities have addressed important educational issues and have had positive impact on leadership personnel at both LEA and USOE levels. However, USOE staff feel that IV-C Strengthening funds have had greater impact on pupils than is felt by district staff. Unfortunately, there is very little documentation on potential and measured pupil impacts. USOE administrators should consider strengthening the evaluation and documentation of pupil impact and maintenance of impact. However, the data collected from the historical evaluation leave little doubt that the overall leadership and strengthening activities for the years 1975-1978 were valid and worthwhile.

1. INTRODUCTION

During the 1980-81 school year, the state of Utah received approximately two million dollars from the Federal government as a part of Title IV of the Elementary and Secondary Education Act (ESEA) which was renewed and revised by the Education Amendments of 1978. According to Section 401 of the amendments, the purpose of Title IV is:

> ". . . to provide financial assistance to State and Local Agencies; (1) to strengthen the quality of elementary and secondary education through support of locally initiated projects and activities designed to improve educational practice; (2) to assist local educational agencies in the acquisition of necessary books, materials, library resources and instructional equipment; and (3) to strengthen and expand programs of counseling and guidance services and testing of students in elementary and secondary schools."

Projects and programs currently administered under Title IV in Utah can be divided into two components: Part B-Instructional Materials and School Library Resources; and Part C-Improvement in Local Educational Practice. Part D-Guidance, Counseling, and Testing was formerly a part of Title IV but received no appropriations during the 1980-81 year. In addition, Title V-Strengthening State Educational Agencies, has been administered in all states by the Title IV administrative structure from 1974 through 1979 under the label, "Title IV-C, Strengthening."

According to Title IV of ESEA as amended by P. L. 95-561, the Title IV State Advisory Council is legally responsible to evaluate all programs and projects assisted under Title IV and to prepare at least every three years and submit through the State Education Agency a report of this comprehensive evaluation. Recognizing that State Advisory Councils oftentimes do not have the time or technical expertise to carry out all aspects of a full-scale evaluation of the operation and effects of Title IV within their state, the law further authorizes the State Advisory Council to obtain the services of "such professional, technical, and clerical personnel . . .as may be necessary to enable them to carry out functions under this title." As described in the Title IV regulations, the purpose of an evaluation of the operation and effects of Title IV within a given state is to determine:

"1. The extent to which educational needs are being met by Parts B, C. and D;

2. the extent to which educational practices of participating LEAs are being improved;

3. the quality and effectiveness of administrative activities undertaken by the SEA such as program application, review, technical assistance, dissemination, and project monitoring; and,

4. for Part C projects . . . the extent to which LEAs are incorporating successful practices originally supported by Part C funds into their regular district-wide educational programs; and the extent to which educational needs which prompted the programs are still viewed as important by the LEA when federal funding concludes."

In addition to these evaluation activities mandated by the law, an onsite evaluation team from the Federal government to the Utah State Office of Education (USOE) in the Fall of 1979 recommended "that the State Advisory Council consider evaluating the four-year impact of the use of 'strengthening' funds in the Utah education agency."

As a result of these circumstances, the Utah Title IV State Advisory Council issued a Request for Proposals (RFP) in December, 1979, to solicit proposals for the conduct of a three-year evaluation of the operation and effects of Title IV expenditures in Utah. In response to that RFP and based on competitive bidding procedures, the State Advisory Council selected and subsequently contracted with the Wasatch Institute for Research & Evaluation (at that time Worthen & Associates) to conduct an evaluation of Title IV programs in Utah. 1981 constituted the second year of that evaluation contract. Results of the first year's evaluation activities are contained in a previous report. The activities, results, and conclusions of the second phase of the contract (January 1, 1981 through February 15, 1982) are summarized in this report.

To facilitate an understanding of the overall evaluation plan, the evaluation workscope is summarized briefly below in 15 components. Although the components are interrelated to a considerable degree, an independent description of each component provides a more thorough understanding of the activities for the proposed evaluation. A complete description of each component is contained in the original technical proposal which can be obtained from the Utah State Office of Education. In the remainder of the report, the component numbers are often used to refer to project activities. However, the main body of the report does not strictly follow the sequential numbering, so that activities which related closely to each other could be summarized in the same chapter.

Evaluation Components

Component #1: External onsite evaluation visits. Each of the Part C developmental projects funded for more than $7,000 a year and a sample of adoptable projects was visited by an external onsite evaluation team each year to gather information relevant to how well they were meeting the purposes of Title IV-Part C funding. Those projects that were planning to apply for continuing funds in the coming year were visited during March. Those projects completing their Title IV funding were visited after the project had been completed (usually August to October). Developmental projects funded for less than $7,000 were only visited in the last year of their three-year funding cycle. Evaluation data for each onsite visit was collected using a standardized format which allowed the results of each visit to be summarized in a systematic and comprehensive manner across projects.

Component #2: Analysis of project continuation. One of the basic assumptions upon which Title IV funding is predicated is that LEAs will continue effective projects with LEA funds after federal funding is completed. This component included an analysis of those projects funded and completed between 1974 and 1979 to determine how effectively these projects were being continued and whether they had contributed to the quality of education within the LEA.

Component #3: Determination of characteristics which discriminate between successful and unsuccessful Part C projects. Information collected during the onsite evaluation visits was analyzed to determine whether certain characteristics or circumstances discriminated between successful and unsuccessful projects. Information about what factors discriminated between successful and unsuccessful projects has implications for future funding decision patterns and will help LEAs and the USOE understand what contributes to a successful Part C project.

Component #4: Adoption of critical components of validated projects. Although it is realized that many validated projects will need to be modified to some degree before they are adopted, a critical assumption of the Title IV-C adoption process is that validated projects contain certain key elements which must be implemented if the project is to be successful in meeting the needs for which it was designed and validated. This component included an analysis of how well adopting districts are implementing those critical components of validated projects.

Component #5: Evaluation of LEA contact with external evaluation teams, educational program auditors, and State Office of Education Personnel. In the course of conducting a Part C project, LEA personnel have extensive contact with a variety of people. These contacts are designed to either assist the

LEA in conducting a quality program or provide information back to the state to improve project operation. In this component, information was systematically collected from participating LEAs to determine where strengths and weaknesses existed, as well as soliciting suggestions for improvement.

Component #6: Evaluation of dissemination activities related to Part C adoptables. Based on information collected during the onsite visits and on information solicited through mailed questionnaires and telephone interviews, data were analyzed to determine whether LEAs are receiving and appropriately considering information about available adoptable projects. This component considered questions about whether LEAs were giving existing adoptable projects sufficient consideration before opting for a developmental, and whether LEAs had sufficient understanding about available adoptable projects to make appropriate decisions.

Component #7: Analysis of LEA participation in Title IV-C. Since Part C projects are funded on a competitive basis, some LEAs may have had more success in obtaining Part C funds than others. This component analyzed whether past funding patterns have been equitable; and if certain LEAs had not participated in Part C funding programs, whether legitimate reasons for this non-participation existed.

Component #8: Analysis of private school involvement. According to the regulations which govern Title IV monies, students from private schools are to be given the opportunity to participate in the benefits which result from Title IV funds. In this component, information was collected from staff of eligible private schools to determine whether both the spirit and the letter of this part of the law were being met.

Component #9: External evaluation of Part B projects. During the second year of the project, onsite evaluation visits were made to a sample of schools which had received Part B funds to determine the degree to which Part B monies are expended in conformance with state and federal guidelines.

Component #10: Analysis of integration of Part B media purchases into school curriculum. To determine to what degree Part B media purchases are impacting on the quality of education within the schools, a sample of schools were visited during the second year of the project, and information was collected regarding: a) the frequency with which materials and equipment purchased with Title IV-Part B funds were utilized in the school system; b) staff members' knowledge of media availability; c) staff members' attitude toward media usage; and, d) the perceived impact of Part B expenditures on the quality of education within the district.

Component #11: Evaluation of Part B Evaluation/Management System. Utah's Part B program currently uses an evaluation/management system to assist LEAs in conducting a needs assessment of media and library materials and establish short-range and long-range goals. This component evaluated the usefulness of this evaluation/management system in a sample of LEAS throughout the state.

Component #12: Evaluation of Title IV-C, Strengthening, funds. In this component, an historical evaluation of the impact of Title IV-C, Strengthening, was conducted during the second year of the project. Information was solicited from State Office of Education Division Directors who have been responsible for the administration of Title IV-C, Strengthening monies and other state office staff and LEAs who should have been impacted by the funds.

Component #13: Educational program auditor process. The contactor was responsible for developing a process and a pool of people who could provide technical assistance to LEAs who are conducting Part C projects. This technical assistance was designed to improve the quality of the projects in meeting the purposes of Title IV-C. Money to pay the technical assistants was not a part of this contract although the development of procedures, identification of appropriate people, and monitoring of the process were included.

Component #14: Development and review of proposals. The staff of the Wasatch Institute for Research and Evaluation assisted the USOE and the State Advisory Council (SAC) concerning the development of guidelines for proposal solicitation, review, and selection. Activities in this component included working with the USOE and the SAC to select and train reviewers, organizing and monitoring the review process, and providing technical assistance to the State Advisory Council in making funding decisions.

Component #15: Final three-year report of Title IV evaluation. Every three years, the Title IV State Advisory Council is required to submit a report to the United States Department of Education evaluating the operation and effects of Title IV expenditures in Utah during that time period. All of the evaluation reports generated during the course of this project will be relevant for that task. In this final component, the contractor will assist in the development of that final report.

Interrelation of Components

The components described above are interrelated to a considerable degree. Taken as a whole, they will provide comprehensive answers to evaluation questions speecified by the State Advisory Council in the original Request for Proposals. Table 1.1 indicates the specific evaluation questions to which each project component will provide information. Since the components described above do not receive equal emphasis in each year of the project, Table 1.2 indicates the years in which activities will be conducted in each component.

The remainder of this report describes the activities and accomplishments related to the evaluation of Title IV activities and projects conducted during the 1980-81 year.

TABLE 1.1

Re.ationship Between Components and Evaluation Questions Cited in RFP

EVALUATION QUESTIONS	EVALUATION COMPONENT 1. External onsite evaluations	2. Are successful projects continued?	3. Characteristics of successful projects	4. Are critical components of validated projects implemented?	5. Evaluation of EE, EPA, & USOE contact	6. Evaluation of dissemination activities	7. Historical analysis of LEA participation	8. Evaluation of private school involvement	9. Conformance of Part B expenditures with application	10. Degree to which media purchases are integrated in school curriculum	11. Evaluation of current B Management System	12. Impact of Title IV funding	13. EPA process	14. Development and Review of Proposals	15. Final Project Report
Evaluation Questions Stipulated in the RFP															
1) Overall, does the expenditure of Title IV funds in Utah conform with Federal guidelines for Title IV expenditures?	•								•						
2) Overall, what impact do Title IV expenditures have on the improvement of quality in Utah's schools?	•	•	•	•	•	•	•	•		•	•	•	•	•	•
3) Do budget expenditures for Part B project conform with the requirements of the approved LEA plans?									•						
4) How frequently are materials and equipment purchased with Part B funds used by LEA staff and students?										•					
5) Are materials and equipment purchased by Part B funds viewed by school staff members as an essential and worthwhile component of their educational programs?										•					
6) According to LEA administrators, how valuable is the current Part B management/evaluation system?											•				
7) Do budget expenditures for Part C projects conform to requirements of the grants?	•														
8) Do project activities conform to approved plans or approved alterations of those plans?	•			•									•	•	
9) Were the Part C projects responding to demonstrated areas of significant need or weaknesses within their current educational systems?	•	•				•								•	
10) Is there valid evidence of project effectiveness or impact?	•												•		
11) Is there evidence that LEAs have continued (or will continue) effective projects after Title IV funding was (is) completed?	•	•													
12) Do adaptable projects have sufficient contact with original developers?	•			•											
13) Have key components of original validated projects been implemented by projects in adopting LEAs?	•			•											
14) Are appropriate efforts made to include private schools and how successful are those efforts?	•							•							
15) Are LEA personnel sufficiently aware of the expectations associated with grant acceptance in time for them to be responsive to SEA and Federal requirements?	•	•		•	•								•	•	
16) Are LEA personnel sufficiently aware of Title IV goals for validation/dissemination at the beginning of developmental projects?	•					•							•		
17) Are internal evaluation reports an accurate representation of project activities and impact?	•												•	•	
18) Are LEA contacts with external evaluation teams, educational program auditors, and Utah State Office of Education staff worthwhile and helpful?					•										
19) Are LEAs which conduct developmental projects knowledgeable about the existence of validated "adoptable" projects which may meet their needs?						•									
20) How effective are the various procedures for disseminating information about potential adoptable projects?						•	•								
21) Do all LEAs in the state have sufficient opportunity, understanding, and appropriate technical assistance to apply for Part C funds?					•		•	•			•				
Additional important questions not contained in RFP															
1) What policies or practices could be implemented by the USOE or the State Advisory Council which would significantly improve the operation of Title IV in Utah?	•	•	•	•	•	•	•	•	•	•	•	•			•
2) What practices and/or procedures could LEAs adopt which would improve the impact of Title IV projects in local settings?	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
3) Are Title IV Part C projects innovative or do they merely provide supplementary/additional funding for existing LEA services?	•	•													

Table 1.2

YEARS IN WHICH VARIOUS COMPONENTS OF EVALUATION WORKSCOPE OCCUR

Evaluation Components	Years in Which Evaluation Activities will be Conducted[a]		
	FY80	FY81	FY82
1) External onsite evaluations to Part C projects	X	X	X
2) Continuation of successful projects		X	
3) Characteristics which discriminate between successful and unsuccessful projects	X	X	X
4) Adoption of critical components	X	X	X
5) Evaluation of project contact with EE, EPA, USOE	X	0	0
6) Evaluation of dissemination activities	X	0	0
7) LEA participation throughout state		X	
8) Analysis of private school involvement	X		0
9) Conformance of Part B expenditures with application		X	0
10) Integration of media purchases into curriculum		X	X
11) Evaluation of Part B management/ evaluation system		X	
12) Evaluation of Title IV - C Strengthening		X	
13) Development of EPA process	X	X	X
14) Assistance with Proposal Review Process	X	0	0
15) Develop final report of evaluation project			X

[a] X's indicate that required resources to conduct the activity will remain fairly constant across the years. The years where 0's are used will require fewer resources because work done previously on that component will have a carryover effect.

2. EXTERNAL ON-SITE EVALUATIONS OF TITLE IV - PART C PROJECTS

Money from Title IV - Part C of the Elementary and Secondary Education Act is made available to Local Education Agencies for the development or adoption of innovative and exemplary educational programs to improve the quality of education within the LEA. Title IV-C funding is directed towards those LEAs who:

(1) have identified a priority need;

(2) have identified existing validated projects for adoption; or have determined that there are no appropriate validated projects to meet the need they have identified, in which case they would propose to develop an appropriate project;

(3) have designed procedures whereby the effectiveness of the project in meetings its objectives can be evaluated; and

(4) are planning to continue and perhaps expand the project with their own funds if it proves to be effective.

During the 1980-81 school year, $487,510 of Title IV-C money was granted on a competitive basis to 20 school districts and one Regional Service Center in Utah for the adoption or development of innovative and exemplary projects. The names of each of those projects, the district to which the grant was awarded, and the amount of money for each grant are shown for both developmental and adoptable projects in Appendix 2.1.*

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* Each appendix in this report is numbered so that the number to the left of the decimal identifies the chapter in which reference was first made to the appended material. The number to the right of the decimal identifies the sequential number of the appendix within that chapter. Hence, Appendix 2.3 refers to the third appendix from the second chapter. Since not all chapters have appended material, there will occasionally be gaps in the sequential numbering.

As one of the major components of the overall evaluation of the operation and effects of Title IV funding in Utah, selected adoptable and developmental projects were visited by external on-site evaluation teams to determine the degree to which each of these projects was successful in meeting the objectives of Title IV-C funding. This document describes the procedures used in those on-site evaluation visits, the results and conclusions from the visits, and makes recommendations based on those data for the future operation and evaluation of Part C projects.

Procedures

Seventeen adoptable and developmental projects were selected for external on-site evaluation visits during the 1980-81 year. These projects included all developmental projects funded for more than $7,000 a year (10 projects) and a sample of seven adoptable projects. The seven adoptable projects selected for visits were chosen nonrandomly from the 25 funded adoptable projects to maximize variance along dimensions of (a) funding level, (b) location of project (Wasatch Front or not Wasatch Front), and (c) type of project. Listed in Table 2.1 are the names of the projects visited, districts in which they are located, funding level, names of the on-site evaluation teams, and dates of the on-site visits.

As can be seen in Table 2.1, on-site visits were conducted in March for developmental projects and October for adoptable projects. The March timing for visits to developmental projects was because each of these projects were eligible for continuation funding during the 1981-82 school year. Continuation proposals were due on April 1. By conducting the on-site evaluations in March, results of these external on-site evaluations were available to the proposal review teams, and it was hoped that the results of

Table 2.1

Projects to Which External On-site Evaluations Were Conducted During 1980-81

DEVELOPMENTALS

Evaluator(s)	Project Name	LEA	Funding Level for 80-81	Date of On-site
Bill Quinn & Lynn Haslam (SAC)	Integrated Arts	Garfield District	$12,000	3/20/81
A. VanMondfrans & Marian Karpisek (SAC)	Teacher Advisement	Millard District	7,030	2/18/81
Ron Thorkildsen	Computers in the High School Media	Alpine District	18,417	3/17/81
Richard Sudweeks	Tri-District Integrated Arts Program	Granite District	25,000	3/17-18/81
Larrie Gale	Teacher Advisement/ Parent Training Project	Northeastern Utah Service Center	30,000	3/23/81
James Shaver & Jessie Taylor (SAC)	Improving Teacher-Pupil Interaction Project	Logan School Dist. District	12,000	3/20/81
Glenn Latham	Bear River Regional Arts Education	Logan School Dist.	12,000	3/13/81
Alan Hofmeister	Precision Teaching Project	Weber County School District	30,000	3/6,13/81
Russell Osguthorpe	Vocational Academics for High School Special Ed. Students	Provo School Dist.	30,200	3/2/81
Karl White, Beverly Myette, & Kent Worthington (USOE)	A Complete Art Program	Granite School Dist.	40,000	4/8/81

ADOPTABLES

Evaluator(s)	Project Name	LEA	Funding Level for 80-81	Date of On-site
Harry Bluhm	The Ogden School Volunteer Program	Ogden School Dist.	26,000	10/13/81
Richard Baer & Beverly Myette	Talents Unlimited Project	Garfield School Dist.	6,000	10/13/81
David Williams & LeGrand Fairborn	Media Special Learning Centers	Park City School Dist.	8,159	10/7/81
Bill Quinn	Talents Unlimited	Northeastern Utah Educational Service Center	25,000	10/15/81
Adrian VanMondfrans & David Salisbury	GEMS	Ogden School Dist.	11,042	10/12/81
Beverly Myette & Richard Baer	Institute for Political and Legal Education	North Sanpete School District	9,556	10/14/81
Karl White & Beverly Myette	Waterloo Follow Through Project	Salt Lake City School District	8,481	10/14/81

the external on-site evaluations would be helpful to projects in writing their continuation proposals. Visits to adoptable projects were scheduled in October so that the project (which was funded from July 1, 1980 to June 30, 1981) would be completely finished and would have had time to close out their financial records and complete any internal evaluation reporting prior to the on-site evaluation visits. In addition, by scheduling the visit in October, external on-site evaluation teams were able to determine the degree to which districts were actually continuing the project beyond the period supported by Title IV-C funds.

Each of the projects was visited by an evaluation team consisting of one, two, or three people depending on the nature of the project and the availability of team members. All members of the State Advisory Council were invited to accompany one of the external on-site evaluation teams, and several members of the Council took advantage of this opportunity, as can be noted in Table 2.1.

Prior to the on-site evaluation, each chairperson of an evaluation team participated in training sessions conducted by staff from the Wasatch Institute for Research and Evaluation (WIRE). Written materials concerning the purpose, procedures, and intended data to be collected from these visits were distributed and discussed in detail at these meetings. (A copy of the written material provided to each member of an evaluation team is contained in Appendix B of the separately bound report available from the State Office of Education.)

During the on-site evaluation, data and information were collected relative to several evaluation questions. The specific questions about which information was collected are shown for both adoptable and developmental projects in Table 2.2. Members of the evaluation team collected data by

Table 2.2

Evaluation Questions for On-site Visits

DEVELOPMENTAL

1. Do project activities conform with approved plan or approved modifications?
2. Is the project responding to a priority area of significant need or weakness within the LEA?
3. Has an evaluation plan been implemented which will provide valid information about project effectiveness or impact?
4. If the project is effective, is there evidence that the LEA plans to continue the project after Title IV - Part C funding is completed?
5. Are appropriate and sufficient efforts being made to include private schools?
6. Do relevant LEA personnel sufficiently understand the purpose of Title IV and are they sufficiently aware of the expectations and requirements associated with accepting a Title IV - Part C grant?
7. Did the LEA make sufficient efforts to identify existing projects which may have met their needs?
8. Do project expenditures and financial accounting procedures conform with state and federal requirements?

ADOPTABLES

1. Did project activities conform with approved plan or approved modifications? Were activities implemented in a quality-like manner that should lead to improved educational practice? If an adoptable project, were the key components of the original validated project implemented?
2. Was the project responding to a priority area of need or weakness within the LEA?
3. Did the project evaluation provide valid information about project effectiveness or impact? Did evaluation yield information which can assist district in making decisions about project continuation?
4. If the project was effective, is there evidence that the LEA plans to continue the project after Title IV-C funding is completed?
5. Were appropriate and sufficient efforts made to include private schools?
6. Are relevant LEA personnel sufficiently aware of and do they understand the purpose of Title IV-C; and are they aware of the expectations and requirements associated with accepting a Title IV-C grant?
7. In selecting an adoptable program to meet their identified need, did the LEA sufficiently consider other options besides the one ultimately selected?
8. Did the project have sufficient contact with the original developer or with certified second generation trainers?
9. Do project expenditures and financial accounting procedures conform with state and federal requirements?

interviewing members of the project, school, and district staff; examining project materials, internal evaluation reports, and deliverables; observing the program in operation if appropriate; and, reviewing the project's financial records. Based on the data collected during these activities, the external evaluation team rated each of the evaluation questions according to the scale shown in Table 2.3. The written material distributed to each of the evaluation team members contained additional information about how these ratings should be applied to each of the individual questions. In addition, during the training of evaluation team chairpeople, each question was discussed in detail and examples were given for each rating category for each question. Thus, although the ratings do depend on professional judgment and consequently are, to some degree, subjective, the ratings could be done reasonably consistently across projects by different evaluation teams.

Since standardized procedures and criteria were used to rate the same questions for each different project, information from the on-site evaluation visits can be collapsed across projects to yield summary data about the degree to which a specific purpose of Title IV-C is being met throughout the state, as well as how successful a particular project is in meeting each of the objectives of Title IV-C. In this way, the State Office of Education can identify those components of the Title IV-C operation which need additional support and upgrading, and can also use the results of the evaluations to determine the most appropriate procedures for administering Title IV-C funds.

Results of External On-site Evaluation Visits

Based on the data gathered during the external on-site evaluation visits, each team completed a summary rating sheet regarding their evaluation of each of the questions listed previously in Table 2.2 and produced a written report

Table 2.3

Rating Scale Used in On-site Evaluations for Developmental Projects

Answers to each of the questions listed below will provide information about how well the project has accomplished the purposes of Title IV - Part C funding. A project which is completely successful will receive the maximum points associated with each question. Questions are worth 20, 10, or 5 points. The table below shows the suggested number of points to be assigned for each level of performance.

QUESTIONS WORTH 20 POINTS Range of points associated with each level of compliance	QUESTIONS WORTH 10 POINTS Range of points associated with each level of compliance	QUESTIONS WORTH 5 POINTS Range of points associated with each level of compliance		PERCENTAGE RANGE FOR EACH CATEGORY
18 - 20	9 - 10	5	Complete or near complete compliance in meeting the purposes of Title IV - Part C suggested by this question.	90-100%
15 - 17	8	4	Minor problems in this area, but not serious enough to jeopardize the success of the project in accomplishing the purposes of Title IV - Part C suggested by this question.	75-89%
10 - 14	5 - 7	3	Moderate problems in this area which may be serious enough to jeopardize the success of the project in accomplishing the purposes of Title IV - Part C suggested by this question.	50-74%
5 - 9	3 - 4	2	Major problems in this area which are definitely serious enough to jeopardize the success of the project in accomplishing the purposes of Title IV - Part C suggested by this question.	25-49%
0 - 4	0 - 2	0 - 1	Little or no compliance in this area. Project is not accomplishing the purposes of Title IV - Part C suggested by this question.	0-25%

concerning their observations and conclusions about the success of the project. (Copies of the summary rating sheets for each of the projects visited and the actual reports written by the teams are included in Appendices C and D of the separately bound report available from the Utah State Office of Education.) Ratings for each of the projects on each of the evaluative questions are portrayed in Table 2.4.

Additional data can be obtained by comparing the ratings of the external on-site evaluations for projects visited during 1979-80 and projects visited during 1980-81. The average rating for all evaluative questions across all projects in each of the two years are portrayed in Table 2.5.

Finally, the written reports (included in Appendix D of the separately bound report) contain much additional information about the operation and effects of Title IV-C funding on the quality of education in Utah schools. Substantial information about the strengths and weaknesses of individual projects and those factors which seem to contribute to successful performance of Title IV-C projects can be found through careful reading of these reports. The interested reader is encouraged to study these reports carefully. Some of the most important conclusions from the information in these reports is summarized briefly in the following section.

Conclusions from External On-site Evaluation Visits

Contribution of Title IV-C to improving the quality of education in Utah schools. The overwhelming and consistent conclusion of the external on-site evaluations is that projects funded with Title IV-C money are making a definite and substantial contribution to the quality of education in Utah schools. Although there are a few exceptions, most projects are high quality projects that are experiencing only minor difficulties in meeting the purposes and objectives of Title IV-C funding. It should be noted that these positive

Table 2.4
Ratings of Adoptable and Developmental Projects Concerning On-site Evaluation Questions

ADOPTABLE PROJECTS		The Ogden School Volunteer Program	Talents Unlimited Project	Media Special Learning Centers	Talents Unlimited	GEMS	Institute for Political and Legal Education	Waterloo Follow Through Project	X̄	S.D.	%
1. Activities conform to plan	(60)	54	30	45	54	60	25	58	46.6	13.9	77.7
2. Priority need established	(10)	10	10	9	10	10	10	10	9.9	.4	99.0
3. Quality evaluation	(30)	18	5	5	22	20	5	23	14.0	8.6	46.7
4. Intent of continuation	(10)	27	30	8	26	30	28	28	25.3	7.8	84.3
5. Involvement of private schools	(10)	10	N/A	N/A	N/A	7	4	7	7.0	2.4	70.0
6. Understand requirements and purpose	(10)	8	9	0	10	10	4	10	7.3	3.9	73.0
7. Considered available options	(10)	10	7	3	10	10	8	8	8.0	2.5	80.0
8. Contact with developer	(10)	10	6	8	10	10	6	10	8.6	1.9	86.0
9. Expenditures and accounting	(30)	30	25	15	15	28	26	28	23.9	6.3	79.7
OVERALL RATING	(200)*	177	122	93	157	185	116	182	150.2		
Percentage		88.5	64.2	48.9	82.6	92.5	58.0	91.0	75.3		

DEVELOPMENTAL PROJECTS		Integrated Arts	Teacher Advisement	Computers in the High School Media	Tri-District Integrated Arts Program	Teacher Advisement/ Parent Training Project	Improving Teacher-Pupil Interaction Project	Bear River Regional Arts Education	Precision Teaching Project	Vocational Academics for High School Sp. Ed. Students	A Complete Art Program			
1. Activities conform to plan	(20)	19	12	16	16	20	20	20	19	19	17	17.8	2.6	89.0
2. Priority need established	(10)	8	10	8	10	4	9	5	10	10	10	8.4	2.2	84.0
3. Quality evaluation	(20)	15	10	15	10	18	17	13	15	18	15	14.6	2.9	73.0
4. Intent of continuation	(10)	9	9	8	8	7	7	5	10	8	10	8.1	1.5	81.0
5. Involvement of private schools	(5)	N/A	5	5	5	N/A	N/A	N/A	N/A	N/A	5	5.0	-	100.0
6. Understand requirements and purpose	(5)	5	5	5	5	3	5	4	5	5	5	4.7	.7	94.0
7. Identify existing projects	(10)	10	10	10	10	7	10	10	9	10	10	9.6	1.0	96.0
8. Expenditures and accounting	(20)	19	20	20	20	18	20	20	20	20	19	19.6	.7	98.0
OVERALL RATING	(100)*	85	81	87	84	77	88	77	88	90	91	87.4		
Percentage		89.5	81.0	87.0	84.0	81.0	92.6	81.0	92.6	94.7	91.0	87.4		

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*Total Points were 5% less for those districts which did not have any Title IV eligible schools within their boundaries.

Table 2.5

Comparison of Overall Ratings for Title IV-C Adoptable and Developmental Projects for 1979-80 and 1980-81

ADOPTABLE PROJECTS

	1979-80	1980-81
1. Activities conform to plan	71.2	77.7
2. Priority need established	77.1	99.0
3. Quality evaluation	35.7	46.7
4. Intent of continuation	91.4	84.3
5. Involvement of private schools	92.5	70.0
6. Understand requirements and purpose	71.4	73.0
7. Considered available options	65.7	80.0
8. Contact with developer	52.8	86.0
9. Expenditures and accounting	77.7	79.7
TOTAL	70.6	75.3
	n = 7	n = 7

DEVELOPMENTAL PROJECTS

	1979-80	1980-81
1. Activities conform to plan	83.3	89.0
2. Priority need established	78.3	84.0
3. Quality evaluation	56.7	73.0
4. Intent of continuation	78.0	81.0
5. Involvement of private schools	72.0	100.0
6. Understand requirements and purpose	81.7	94.0
7. Identify existing projects	85.8	96.0
8. Expenditures and accounting	88.3	98.0
TOTAL	77.8	87.4
	n = 12	n = 10

conclusions apply to a wide range of projects from integrating the arts into basic skills areas, to teacher advisement of students, to vocational academics for handicapped children, to school volunteer programs, to early childhood learning programs. Such a wide array of objectives being addressed by Title IV-C projects emphasizes what districts view as one of the program's primary attributes--flexibility.

At the same time, the wide variety in projects underscores the wisdom of having a source of funding available for districts to respond to what they perceive to be their highest priority need areas. The needs of every district will be different, and Title IV is one of the few sources of funds that makes money available on such a flexible basis.

The ratings in Table 2.4 also indicate that in general, projects understand the purpose and requirements of Title IV-C funding and that they are generally successful in accomplishing what they set out to do. Developmental projects were awarded almost 90% of the points regarding how well projects conformed with the activities proposed in their funding application. Although adoptable projects were a little lower, some of the lower average is attributable to two fairly weak projects. In addition, adoptable projects appear to be doing a good job of adopting the key components of previously validated projects which enables them to build on the success of other projects at substantial cost savings.

Data shown in Table 2.4 also indicate that on-site evaluation teams were convinced that projects were responding to high priority needs and not just a passing whim. The validity of this perception is also reinforced by the high ratings (80%+) on the degree to which districts are intending to continue both developmental and adoptable projects with non-Title IV money. In the case of adoptable projects, the high ratings are even more convincing because visits occurred in the school year following the end of Title IV funding, and on-site evaluators could actually observe whether or not districts were continuing the projects.

In summary, data collected during the on-site evaluations indicate that Title IV-C is supporting high quality projects that are addressing priority areas of need across a broad spectrum of areas. Although not all Title IV projects are successful, collectively they represent an impressive aggregation of educational innovation and development that are making a definite and substantial contribution to the quality of education in Utah schools. Furthermore, it appears that the positive contribution of Title IV-C projects endures beyond the actual funding period.

Internal project evaluation. The weakest aspect of both adoptable and developmental projects was in the area of internal project evaluation. An expectation of Title IV funding is that each project will conduct an evaluation of the degree to which their project is effective in accomplishing the objectives proposed by the project.

For developmental projects, such an evaluation should clearly demonstrate whether the project leads to better achievement, self-concept, attitude towards school, or whatever specific objective is being addressed by the project. By the end of the developmental cycle, such an evaluation should definitely be summative in nature and should provide convincing evidence about whether participants are better off as a result of the project. For adoptable projects, evaluations should generally focus more on process and feasibility than on outcomes. Because adoptable projects have already documented that with proper implementation they can accomplish their objectives, a summative evaluation is generally not necessary. However, data about the degree to which staff view the project as being acceptable and valuable for their district and an investigation of potential side effects and other ramifications of the project should be done. The expectation of conducting an internal evaluation is very important because it is the vehicle by which district staff can collect information which allows them to make informed decisions about whether to continue the project beyond the Title IV-C funding cycle. In addition, good evaluation data will provide information to improve the project implementation and operation in future years.

As noted from the ratings in Table 2.4, the internal project evaluation was by far the weakest component for both adoptable and developmental projects. Consequently, districts are frequently basing their decisions about continuation on perceptions and feelings which frequently are not data-based and, in some cases, may not be accurate.

Some of the weaknesses in the evaluation component seem to result from lack of qualified evaluation staff in many of the districts. In those cases where local expertise is a problem, the procedures set up by the State Office of Education to provide technical assistance to projects would be of great assistance. However, in the past, most projects have not taken advantage of these technical assistance opportunities. Whether this is because of lack of knowledge about the availability of technical assistance or lack of understanding about the potential applicability of evaluation is not clear. The infrequent use of technical assistance probably does not stem from poor experiences in the past, because data collected in other parts of this evaluation suggest that those districts who have used technical assistance have been very satisfied and perceive the services as valuable.

In the case of adoptable projects, some of the weaknesses in the evaluation component are perhaps attributable to some confusion emanating from the State Office about what is expected from districts regarding evaluation.

Several project directors pointed out that although they had received instruction from the State Advisory Council informing them that a complete internal evaluation of their project was expected, they later received from the State Office of Education a two-page checklist to be completed at the end of the project. Many viewed this as the only evaluation requirement. These apparently conflicting messages confused them about what was really expected in the evaluation and, subsequently, for some projects the evaluation component of their project never really got off the ground.

Accounting for project expenditures. As shown by the ratings in Table 2.4, projects were generally very good about conforming with state and federal guidelines regarding project expenditures and financial accounting. The two projects which were rated low had problems because they did not know what was expected of them in terms of keeping financial records and back-up documentation, or submitting revised budgets when the total project budget was cut. In no instance was there any indication that Title IV-C monies were misused by any of the projects. The minor problems that have occurred in the financial accounting area will probably be solved as projects become accustomed to the idea of financial auditing being a part of the regular on-site evaluation visits. In addition, additional instruction from the State Office for projects (particularly for one-year long projects) would probably be beneficial.

Cost-effectiveness of adoptable projects. Data collected during the on-site evaluation visits indicate that adoptable projects are a very cost-effective way for districts to address their high priority needs. First, adoptable projects have all been carefully validated so that districts do not have as high a risk about whether the project will be effective in doing what it was designed to do as they would have with a developmental project.

Secondly, the average cost for implementing an adoptable project is much lower ($10,615 per year in 81-82) than the average cost for a developmental project ($20,195 per year in 81-82). Thirdly, adoptable projects usually only require one year of funding, whereas developmental projects often require three years of funding.

Where a suitable adoptable project is available, the State Office of Education should continue to encourage districts to seriously consider adoption as opposed to new development. The only major problem related to the adoption process is that some districts would like to use adoptable money to do more than is necessary in terms of trying out a project to see if it is the appropriate project for their district. The purpose of adoptable money is to provide the district with enough money to do a fair test of the project in their local situation. If, based on that test, it looks like the project is going to be successful, districts should be providing their own money for expanding the project into other areas of the district.

Some districts have wanted to use Title IV-C adoptable money to implement adoptable projects in many more schools than necessary to do a fair test of the project. However, careful review of adoptable proposals during the proposal review process has reduced these types of problems during the last couple of years. The State Office should continue to emphasize that proposals for adoptable money should only be for enough money to implement an adoptable project in a sufficient number of schools to thoroughly and fairly test whether the concept or project will be appropriate for that particular district.

Most of the adoptable projects visited this year did a very good job of implementing the key components of the originally validated project. Some people have worried that adoptable projects would become adaptations to the point that the originally validated project would not be recognized in its new setting. Unnecessary or excessive adaptations were not a problem for the projects visited during the external on-site evaluations. In addition, most of these projects had had extensive contact with the original developer of the project and received substantial assistance in implementing the project and maintaining quality control.

It should be noted that in spite of the cost-effectiveness of adoptable projects, there is some additional risk involved because they are one-year projects. With most of the developmental projects, contacts from USOE staff and the input via external on-site evaluation teams provide many opportunities to give midcourse feedback and assist projects in making corrections that will help them successfully accomplish the objectives of Title IV. However, with adoptable projects that last only one year, there is much less opportunity for such input and correction. Thus, a small number of adoptable projects which might have been successful if time had been available for additional input and correction, may "crash and burn." Additional use of the technical assistance offered through the State Office of Education would help to avoid such problems.

Instructional benefit of on-site evaluations. From considering the data in Table 2.4, one's first impression might be that developmental projects are generally more successful at achieving the objectives of Title IV than are adoptable projects. The average rating for all developmental projects in 1980-81 was 87.4, whereas the average rating for adoptable projects was 75.3. A more plausible explanation for this difference, however, is that the external on-site evaluations have had considerable instructional benefit for projects that were previously visited. All of the developmental projects visited during the 80-81 year were also visited in 79-80. Ratings for the

79-80 developmental projects (77.8) are more similar to the ratings for the 80-81 adoptables (74.9) and the 79-80 adoptables (70.6).

The improvement from 79-80 to 80-81 for the same developmental projects is evidence that projects are acknowledging and acting on many of the suggestions made during the on-site evaluation visits. Areas in which the most substantial improvement was made include internal project evaluation, inclusion of private schools in the benefits of Title IV-C, understanding the requirements and purposes of IV-C, and conforming to state and federal guidelines regarding budgeting and financial accounting. When viewed in this manner, the data in Table 2.5 indicates that adoptable and developmental projects are almost equally effective in meeting the objectives and purposes of Title IV.

Important information regarding whether adoptable or developmental projects are "better" comes from the data about which projects are continued beyond the period of Title IV-C funding and what impact each individual project is having. On these dimensions, both adoptable and developmental projects appear to be meeting different, but important needs, and both are making important contributions to the quality of education in Utah schools.

Factors contributing to project success. Each of the external on-site evaluation teams were asked to summarize in their written report what they felt to be the most important factors which contributed to the strengths and/or weaknesses identified in the project. An analysis of these reports suggests that there are identifiable factors which differentiate between successful and unsuccessful Title IV-C projects.

Expertise of Project Staff and Consultants

Having qualified and experienced staff or consultants identified and employed appeared to be the single most important discriminator between highly successful and less successful Title IV-C projects. Such information is important in deciding which projects to fund and in organizing to provide technical assistance to projects. A number of the projects visited had good ideas for responding to high priority district needs but either did not have the staff hired at the beginning of the project or had staff hired who did not have the necessary skills and expertise to successfully carry off the project.

Appropriate Conceptualization

A clear discriminator between successful and unsuccessful projects was the degree to which the project was clearly and appropriately conceptualized from the beginning. Those projects which had difficulty expressing in the proposal what they were going to do, why they were going to do it, and how it is going to be done, almost invariably continued to have difficulty throughout the year. However, those projects which were able to clearly conceptualize their project from the beginning were more successful. Although these data are important for the proposal review process, the state should continue to acknowledge that some people will be excellent project directors who may not be very good proposal writers. Therefore, it is important that technical assistance be made available to projects on an ongoing basis and that projects be encouraged to take advantage of this assistance in writing proposals. Use of such technical assistance will help ensure that projects are judged on merit rather than on the district's ability to write. In the absence of other information, however, the degree to which the project is appropriately conceptualized in the proposal remains a generally good indicator of whether the project will be successful.

Enthusiasm and Commitment of Project Staff

The third factor which discriminated well between successful and unsuccessful projects was the degree to which project staff were enthused and committed about the project. This finding will be of little use in terms of the proposal review process, because it is virtually impossible to determine from a written proposal how committed and enthused staff are about a project. However, it does provide important guidance for districts in selecting staff to conduct a Title IV-C project. Even though it is important that a project represent a district priority and not just a pet project of one or two people, it is also very important that the district select project staff who are committed to and enthusiastic about the concept being developed or implemented.

Commitment and Support of LEA

Administrative encouragement, support, and commitment in terms of resources was often noted by external on-site evaluators as an important contributor to the success of a particular project. The frequency with which this factor was mentioned suggests that both the districts, in designing Title IV-C projects, and the State Office, in deciding which projects to fund, should pay attention to it. However, the degree of district commitment did not discriminate between successful and unsuccessful projects. In other words, most projects had fairly strong support from their district administration even though some projects were much more successful in terms of accomplishing the purposes of Title IV than others.

Involvement of Classroom Teachers

Another factor which was mentioned frequently as contributing to the success of a particular project was the degree to which the project was able to involve classroom teachers in the development and day-to-day operation of the project. Some projects were very good at involving classroom teachers, so that when the time for continuation of the project arrived, teachers already had some ownership and commitment to the project. Other projects had a difficult time doing this, and consequently, had a weaker project than would have been desirable. Project directors should pay attention to the importance of involving classroom teachers at an early stage in those projects where support from the teachers is going to be important in the long run.

Match with Existing Curricula and Priorities

Some of the most successful projects were those that developed or implemented a program that built directly on and could be assimilated into existing curricula, programs, and priorities of the district. In those cases where this happened, it was much easier to gain support of teachers and administrators and to utilize existing district resources to supplement and continue the project development and implementation. Again, not all successful projects displayed this attribute, but the data suggest to district administrators and project directors as they plan the development or adoption of a Title IV-C project, to consider how well the project meshes with what they already have.

Recommendations

Support for the development and implementation of innovative and exemplary projects. As the probability increases that Title IV-C funding will be phased out of the federal assistance to states, it is important for the Utah State Office of Education to recognize the substantial impact on the quality of education which has been demonstrated by projects funded with Title IV-C. Based on data collected from the external on-site evaluation visits to these projects, it is clear that funding for the development and implementation of innovative and exemplary projects can have important long-term impact on the quality of education. Although there are individual exceptions, the majority of projects funded during this year by the State Office of Education were responding to important locally identified needs and were successful in meeting those needs in ways that can be continued far into the future. Therefore, it is strongly recommended that the State Office of Education continue to allocate funding to support the development and implementation of exemplary and innovative projects. Even if federal money for Title IV-C is phased out completely, the procedures and purposes of Title IV-C provide an excellent model for the long-term continuation of this type of funding.

Proposal review procedures. Data from the past several years indicate that not all districts or projects are equally successful in responding to identified needs. Therefore, as long as there is limited funding available for such projects, it is important that funding allocations be made on a competitive basis so that there can be reasonable assurance that the money is being as well spent as possible. In making those funding allocation decisions, the state should pay particular attention to the following factors.

1. The availability of staff and consultants with demonstrated skills and experience in the requisite areas.
2. Clear conceptualization of the whats, whys, and hows of what the project is trying to do.

Provision of technical assistance. The State Office of Education should continue to operate and even expand if possible the opportunities for districts to utilize technical assistance in proposal writing and project development and implementation (particularly internal project evaluation). Appropriate technical assistance represents a relatively small expenditure of money which, in many instances, can make the difference between success and failure.

Clarity and consistency of guidelines and information to project directors. In the past several years, the State Office has made important strides in providing project directors of Title IV-C with detailed guidelines and information concerning the operation and evaluation of Title IV. This information has had important positive impact on the operation of Title IV. It is important that information dissemination be continued with particular attention to making sure that information disseminated from the state is consistent and appropriate to the needs of project directors.

External on-site evaluations. Conducting external on-site evaluations to a sample of all funded projects does represent a significant investment of resources by the State Office of Education. However, these evaluations, when conducted in a systematic and consistent manner, appear to have substantial impact on the quality of projects which are operated. The prespecified criteria and written reports produced by the external on-site evaluation teams have provided important guidance for project directors and appear to have assisted them substantially in understanding the purposes and requirements of Title IV-C funding. In addition, information from the external on-site evaluations have provided project directors with information which appears to have been beneficial in helping them to improve their project in subsequent years. Finally, information from these evaluation visits has provided a wealth of information which can be used by the State Office of Education in improving and monitoring the management of Title IV-C type funding. Therefore, it is recommended that the state continue some form of external on-site evaluation visits as they look for ways to continue to provide support for innovative and exemplary program development and implementation.

3. ANALYSIS OF LEA PARTICIPATION IN TITLE IV-C FUNDING AND REASONS FOR NON-PARTICIPATION

An important issue identified in the Educational Amendments of 1978 is whether all LEAs have at their disposal appropriate information and technical expertise which will allow them to be competitive for Title IV-C funding if they so choose. This issue first arose during the era of Title III funding, when it was found that district enrollment and metropolitan status were excellent predictors of the receipt of Title III grants. Although a more recent survey shows that these variables do not predict the receipt of Title IV-C grants*, a residual belief that Title IV-C competitions favor larger, metropolitan districts is pervasive in many if not most states.

Utah is no exception. Anyone who has spent much time working with Title IV projects in non-metropolitan districts in Utah has doubtlessly heard the speculation--if not the assertion--that the Title IV-C funding competition tends to favor the larger, Wasatch Front school districts. Despite the fact that Utah has designed a method of distributing Title IV-C funds so as to eliminate competition between large and small schools, questions and concerns about the extent to which funding opportunities are equitable persist.

It is true that some Utah LEAs have been more successful in obtaining Part C funding than others, even within the same category of school district size. It is also true that some districts have seldom chosen to participate in the annual competitions to obtain Part C funding. But no data have existed prior to the present study to determine what factors may relate to differential rates of proposal submission and success in Title IV-C funding competitions or whether there is any credence to the speculation that such competitions may favor the larger, metropolitan or suburban districts.

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* McDonnell, L. M., & McLaughlin, M. W. Program Consolidation and the State Role in ESEA Title IV. Santa Monica, Calif.: Rand Corporation, Report #R-2531-HEW, April, 1980. Hereafter, this report will sometimes be referred to herein simply as the "Rand Study."

To provide information regarding this and other related questions, this component of the evaluation was included in the present study. It includes a historical analysis of where Part C funding has typically gone in the State of Utah and an analysis of factors that discriminate between districts that are heavily involved in Title IV-C funding and those which have had relatively little involvement in Title IV-C. The remainder of this chapter contains a description of (a) the general evaluative questions to which this component was addressed; (b) the general design used in this component of the evaluation; (c) specific procedures used in each of several evaluation activities; and (d) the results, conclusions and recommendations produced within this sub-study.

Evaluative Questions for Component 7.0

The following general evaluative questions were addressed in this component of the evaluation:

1. What factors are related to Utah school districts' participation and non-participation in Title IV-C funding?
2. Are all districts fully aware of the opportunity to apply for Title IV-C funds and the guidelines to be followed in applying?
3. Do all districts have relevant technical expertise available to prepare competitive Part C proposals or, if not, do they know where and how to obtain such assistance through the USOE?
4. What reasons do districts which have submitted unsuccessful Part C proposals believe account for their lack of success?
5. Why do some Utah districts submit few or no Title IV-C proposals?

6. What role does funding of Title IV-C projects through regional service centers have on the Part C participation of districts within those regions? How successfully do such projects meet the needs of individual districts in those regions?

General Evaluation Approach for Component 7.0

The general approach used to collect data for this phase of the evaluation included three interrelated efforts: (1) to identify those districts which have had little or no involvement in Title IV-C funding since its inception; (2) to determine whether there are district or demographic variables that are predictive of differential levels of involvement of districts in Title IV-C funding; and (3) to collect data from administrators in districts with low involvement in Title IV-C funding to determine their perceptions of the reasons for and desirability of their relatively infrequent participation with Title IV-C. Activities to accomplish these ends included: (a) identification of a sample of "low involvement" districts through an historical analysis of present and prior Title IV-C funding patterns in Utah; (b) a discriminant function analysis of the relationship between district and demographic variables and participation in Title IV-C funding; and (c) an in-depth questionnaire survey of administrators in districts which have had little or no history of participation in Title IV-C.

Procedures used in each of these activities are summarized in the following sections.

Identification of the Sample

An historical analysis of where Part C funding has typically gone in the State of Utah was done to identify the level of past involvement in Part C for each district. The procedures used in this analysis included the following:

1. Lists of all Title IV-C projects from FY 73 through FY 81 were obtained from Mr. Cowan, USOE Title IV-C coordinator. With his help and that of other USOE staff, these lists were cross-checked with other Title IV files and documents to verify accuracy, correct any discrepancies caused by undocumented changes in project directors, budgeted amounts for projects, and the like. The result was a list which included the following information for each Part C project:

- District
- Fiscal year(s) of project funding
- Type of project (e.g., adoptable or developmental)
- Dollar amount of project grant
- Title of project
- Name of project director (where available)

2. The above lists were collated by district to generate, for each district, information such as the following (fictional) sample:

Copper District

Year(s)	Type	Amount	Title	Project Director
1977-78	A	$8,000	USAIL	Will Kethum
1978-79	A	7,775	USAIL	Reva Mouter
1980-81	D	11,200	New Horizons Reading	I. M. Lochhead

3. Two measures were used to determine level of district involvement in Title IV-C.* The first was the number of different Title IV-C projects a district had received and conducted. The second was the number of years during which the district has had a Title IV-C grant, whether or not it was a different grant or the same grant extended across more than one year. For

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* Data on a third measure, Title IV-C proposals submitted but not funded, by district and/or year was sought but was not available in the USOE.

example, the "Copper District" example listed in #2 above would be counted as having only two projects (since the same project, USAIL, was funded in two successive years), but as having Title IV-C funding for three years. Both measures (number of projects and number of years receiving funding) were applied across two different time periods, 1973-1981 and 1977-1981, to assess whether there had been significant changes in participation for each district as the Title IV-C guidelines for awarding projects changed in 1977. No marked changes were noted; districts which have been heavily involved in this funding program have tended to do so consistently, while districts with low involvement tended, for the most part, to have their initial introduction to Title IV funding with the introduction of the adoptable program in 1977, with most of their success coming in the less competitive awards processes used during the FY 78 and 79 review processes, where money was allocated to districts on a less rigorously competitive basis.

4. Using the above measures, 18 districts were identified as having participated considerably less often in Title IV-C funding than had the remaining 22 districts. These 18 districts which comprised the sample of "low involvement" districts* used in the present analysis are shown in Table 3.1, along with a description of the number of years and number of projects they have been involved with Title IV-C during its entire lifespan. Although not included in the sample, three of the districts more highly involved in Title IV-C funding are also listed for comparison purposes.

5. The 18 sample districts were also clustered where applicable within the four regional service centers which exist to serve Utah schools, resulting in the clusters listed below.

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* The reader may note that in the original cover letter shown in Appendix 3.1, the sample was described as containing only 15 districts. Three more districts were added when an arithmetic error was found, showing they had as few projects as the other 15.

Table 3.1

UTAH SCHOOL DISTRICTS NOT HEAVILY INVOLVED
IN TITLE IV-C FUNDING IN PRIOR YEARS

		1973-81	
	District	No. of Projects	No. of Years
1.	Beaver	1	2
2.	Boxelder	1	3
3.	Cache	2	3
4.	Daggett	2	2
5.	Grand	1	2
6.	Juab	2	3
7.	Kane	3	3
8.	No. Sanpete	3	3
9.	No. Summit	1	2
10.	Park City	2	3
11.	Piute	2	2
12.	Rich	2	3
13.	San Juan	1	2
14.	So. Sanpete	3	3
15.	So. Summit	2	2
16.	Tintic	1	2
17.	Tooele	3	3
18.	Wayne	2	3
NOT IN SAMPLE: FOR COMPARISON ONLY			
X.	Uintah	13	7
Y.	Granite	17	5
Z.	Ogden	16	7

Central Utah Educational Services (Richfield)

Tintic
Juab
Piute
No. Sanpete
South Sanpete
Wayne

S. E. Educational Service Center (Price)

San Juan
Grand

S. W. Educational Development Center (Cedar City)

Beaver
Kane

N.E. Utah Educational Services (Heber City)

Park City
Rich
Daggett
No. Summit
So. Summit

Not affiliated with an existing service center

Cache
Box Elder
Tooele

Discriminant Function Analysis

A discriminant function analysis was performed to determine the relationship between demographic/district data and level of involvement in Title IV-C funding, using the two groups identified in the previous section of this report. These groups consist of (1) the 18 districts with relatively little involvement, and (2) the remaining 22 districts which have been more heavily involved in Title IV-C funding.

The variables used in the analysis were selected on two bases. First, district financial, sociometric, and other variables used or discussed in the Rand Study of the relationship between type of Title IV-C grant and district characteristics (McDonnell, L. M., & McLaughlin, M. W., 1980, p. 21) were considered for inclusion in the present study. Second, discussions with USOE and other state and local officials determined the feasibility of collecting data on each of the variables within the time and financial constraints for this evaluation component. Variables on which data collection was judged infeasible were dropped from this analysis. The resulting 11 variables which were used to discriminate between the two groups of districts are listed below, along with brief descriptions or definitions of each variable.

1. District innovativeness. This variable was derived from ratings by selected USOE administrators and staff judged to be knowledgeable about the relative innovativeness of Utah school districts because of their broad exposure to most districts. Each rater was asked to rate each district's innovativeness on a five-point Likert scale, using a rating form shown in Appendix 3.2. To avoid criterion contamination, ratings of individuals associated with the operation of Title IV-C or its grants award process were excluded; the mean rating of the nine remaining raters for each district was used as the measure of innovativeness for that district.

2. Poverty index. The source of data on this variable was a poverty index provided by USOE officials for each district in the sample. The index was constructed using the Oshanske formula* to compute data at the county level, with poverty indices for sub-county areas based on combined data on school free lunch recipients, AFDC, foster children, and 1970 census data on families receiving poverty aid. Annual poverty indices for each district were averaged across FY 75 through FY 79** to provide an average poverty index for each district.

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* This formula incorporates the following factors: (a) base data from the 1970 census; (b) family income, adjusted for inflation; (c) cost of living by area; and (d) family size.

** For this and all indices, data for the most recent year(s) for which they were available were used.

3. Percentage ethnic minorities within district. Data on this variable were drawn from USOE annual reports, with data for each district averaged across FY 75 through FY 79 to yield a mean percentage for each district.

4. Percentage of district revenues from Federal sources. Data on this variable also were drawn from USOE annual reports, with data for each district averaged across fiscal years 75 to 79 to yield an average index for each district.

5. Total grant dollars from discretionary funds. The source of data for this variable was the USOE "Eight Year Discretionary Funds Study" which encompassed the period July 1, 1969, to June 30, 1977. Amounts for each district were averaged across fiscal years 75 to 77 to yield the district indicators on this variable.

6. Number of competitive grants. This variable was drawn from the same source as in #5 above. The number of grants for each district for fiscal years 75 through 77 were summed to produce the district indices on this variable.

7. District enrollment. October 1, 1978 enrollment data for each district were drawn from the 10-31-78 enrollment report of the USOE External Support Services.

8. District population index. The earlier-referenced Rand study included the variable, "metropolitan status," which was viewed as highly desirable for inclusion in the present study, especially in view of speculations about Title IV-C funding favoring urban and suburban Wasatch Front districts. It was found, however, that no comparable data existed for Utah districts, and every effort to generate categorical data along the urban-rural dimension met with failure, despite excellent cooperation of USOE officials and population specialists in Utah State University's Department of Sociology,

Social Work and Anthropology in attempting to develop a classification system that would neatly sort districts into rural, suburban, and urban categories based on population in the district, distance from urban centers, area within district boundaries, and so on. It was finally concluded that the most relevant, reliable indicator would be a composite index designed to be as close an estimate as possible of the total population residing within the district boundaries. Although not a direct measure of population density or rurality as such, it was judged by the consulting demographers to be a very good secondary measure of rurality. The index was therefore constructed with their help, using census information for counties, the enrollment data for districts described earlier, and demographic data on population density and average number of school age children per family in various regions of the State. The resulting district population estimates were then categorized into the following four categories: less than 5,000; 5, - 20,000; 20, - 50,000; more than 50,000. Out of curiosity, categorization of districts using this system was checked against that used by the USOE in sorting districts into funding categories based solely on district enrollments (category A = 10,000+ enrollment; B = 5 to 10,000; C = 1 to 5,000; and D = less than 1,000). Correspondence between the two categorization systems was nearly perfect. Of the 40 Utah districts, 37 matched perfectly; of the remaining three, two were within 20 students of the boundary for moving into the next category, which would have resulted in perfect correspondence for 34 of the 40 districts.

Given this finding, the more direct and simple USOE index of district size was used as the "population index" to estimate the relative degree of urbanization or rurality of each district.

9. Percentage of growth in district enrollment. This index was computed by calculating the change in total district enrollment between the 1974-75 and

the 1978-79 school years, based on data from the same source as that for the variable of district enrollment described earlier.

10. Size of district administrative staff. Data on this variable were drawn from reports for FY 79 produced by the USOE External Support Services. All central office professional staff and area coordinators were included for each district. Secretaries and other support personnel are not included.

11. Number of principals and teachers. This district variable would seem self-explanatory; data for it were drawn from the same source as for #10 above.

Rationale for the analysis. The purpose of discriminant function analysis is to statistically distinguish between two or more groups of cases. To distinguish between the groups, discriminating variables are selected which measure characteristics upon which the groups are expected to differ. The mathematical objective is to weight a linear combination of discriminating variables so as to make the *a priori* groups as statistically distinct as possible. The resulting weights of the discriminating variables can then be used to identify the most important ways in which the groups differ. The discriminant functions can also be used to classify individual cases within the groups so that "predicted" group membership can be compared with actual group membership, and the practical value of the discriminating variables in distinguishing between the groups can thereby be examined.

In the present case, demographic and district data on the 11 variables outlined above were used in a step-wise discriminant function analysis to distinguish between the two previously defined groups of districts, using the Mahalonibis method.* The *F* required to enter the equation was 1.0 and the maximum F to remove was also set at 1.0. The step-wise analysis selected four variables as meeting the above tolerance levels set for inclusion in the analysis, as will be discussed in a later section.

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* Nie, N. H., *et al.* SPSS: Statistical Package for the Social Sciences, McGraw-Hill, 1975, p. 447.

Questionnaire Survey

A questionnaire and appropriate cover letter were developed, piloted, revised, and sent to the 18 districts identified as not heavily involved in Utah's Title IV-C program in the past. This questionnaire and cover letter appear in Appendix 3.1 to this report. Where necessary, follow-up telephone calls to district superintendents were made to elicit responses to the questionnaire. These personal calls resulted in 18 completed and usable questionnaires (100%) being returned.

All returned instruments were reviewed and, where necessary, additional telephone calls and personal visits were made to talk to respondents to clarify information contained in the questionnaires and/or to obtain additional information suggested by the written responses. Such telephone calls were made to six of the districts and personal visits were made to two; this process produced considerable additional insights into reasons for these districts' relatively low level of participation in Title IV-C funding.

The questionnaire responses were coded and analyzed and the results are summarized in a later section herein. The telephone and personal interviews are not reported directly herein, but are used in the discussion and conclusions that appear in the following sections.

Results for Component 7.0

The results of all evaluation activities associated with Component 7.0 are summarized and discussed briefly below, followed by a section in which major conclusions and recommendations relevant to this chapter are presented.

Characteristics of the Sample Districts

The 18 districts found not to be heavily involved in Title IV-C funding were categorized into the four categories of district size used by USOE in controlling the Part C competition so that districts are required to compete with other districts with generally similar enrollments. The results of this analysis are presented in Table 3.2.

It is apparent, even without the superfluity of statistical analysis, that districts of differing sizes have not fared equally well in Title IV-C funding competitions, even when required to compete only with other districts of approximately equal size. Larger districts have been conspicuously more involved in Title IV-C projects than have their smaller counterparts. This is particularly true in categories A and D; none of the eight districts with enrollments over 10,000 were included in the sample of "low involvement" districts, whereas 11 of the 12 districts with enrollments of less than 1,000 were included in that sample.

The process of setting aside portions of the Part C funds for each category may have served districts in categories A-C well, since more than 50% of the districts in each of those categories have been able under this arrangement to avail themselves of the opportunity to obtain Part C funds with at least reasonable frequency. It obviously has not served Category D districts as well, since only one such district has participated very frequently in the Title IV-C program. Reasons for these differential levels of participation will be examined later in this chapter.

The 18 districts in the sample were also categorized as to whether they are within the service region of one of the four service centers set up to serve districts who do not have adequate internal services and are unable to obtain them readily from other sources. The results, which appear in Table

Table 3.2

Categorization of "Low Involvement" and High Involvement"

Districts into USOE Title IV-C Funding Competition Categories

Level of Involvement in Title IV-C Funding		USOE Category (by Enrollment)									
		A > 10,000		B 5 - 10,000		C 1 - 5,000		D < 1,000		TOTALS	
		N	%	N	%	N	%	N	%	N	%
LOW	N	0		4	(22)	3	(17)	11	(61)	18	(100)
	%	0		31		43		92			
HIGH	N	8	(36)	9	(41)	4	(18)	1	(5)	22	(100)
	%	100		69		57		8			
TOTALS	N	8		13		7		12		40	
	%	100		100		100		100			

3.3, show that a large majority (15) of the districts in the sample lie within the service region of one of the four centers. Three of these four centers have had one or more Title IV-C projects intended to serve the needs of the districts in their service regions, including the needs of 13 sample districts within those three regions. The fourth center, with two of the sample districts in its service region, did not have a Title IV-C project funded. Although the present evaluation does not purport in any way to be an evaluation of any of the service centers, it was intended, among other things, to assess the effectiveness of the strategy of funding Title IV-C projects to service centers intended to serve needs for innovative programs on the part of districts within their region. This facet of the evaluation becomes important in view of the following two points.

Table 3.3

Proportion of Utah's School Districts Within Service Region of a Service Center: By Level of Involvement in Title IV-C Funding

Level of Involvement in Title IV-C Funding		Within a Service Region N	Within a Service Region %	Not Within a Service Region N	Not Within a Service Region %	TOTALS N	TOTALS %
LOW	N	15	(83)	3	(17)	18	(100)
	%	58		21			
HIGH	N	11	(50)	11	(50)	22	(100)
	%	42		79			
TOTALS	N	26		14		40	
	%	100		100			

1. One of the most frequent complaints of small school district respondents in the previously cited Rand study of Title IV-C was that the ". . .supplementary centers were 'creaming off' funds that could be used more productively by local districts" (p. 24). This concern was expanded upon as follows:

> Further, a number of administrators from small districts felt that the supplementary centers were serving neither their mandated technical assistance functions nor the interests of small school districts. For example, one said: "Our SEA is relying very heavily on the supplementary center to implement the SEA aspects of IV-C. But the supplementary centers compete with local districts for funding, they are not carrying out the SEA's function nor are they developing projects that necessarily meet our needs. They are doing what they want to do." (p. 24-25)

2. One of the major reasons underlying low involvement of Category D districts in Title IV-C funding may well be the assumption that Title IV-C projects funded to service centers (located in Category B and C districts) serve the needs of Category D districts in those regions as well. All 12 Category D districts lie within one of the four service regions, and nine are within the regions of the three centers who have received one or more Title IV-C grants intended to serve multiple districts.

The analysis of questionnaire data presented later in this chapter includes analyses intended to determine the extent to which the issues outlined above operate in Utah's Title IV-C program.

Results of the Discriminant Function Analysis

The intercorrelation matrix for the 11 demographic/district variables used in this analysis is shown in Table 3.4.

The results of the step-wise discriminant function analysis identified four variables which combined to provide maximum distinction between "low involvement" and "high involvement" districts. These variables, along with

Table 3.4

Pooled Within-Groups Correlation Matrix for Variables Used in Discriminant Analysis

Variable	1 Innovative. Index	2 Poverty Index	3 % Fed. Fund.	4 % Ethnic Minority	5 District Enroll.	6 Pop. Index	7 Compet. Grants	8 % Growth	9 Total Grant $	10 No. of Admin's.	11 No. of Prin. & Teachers
1. Innovativeness Index	1.000										
2. Poverty Index	.098	1.000									
3. % Fed. Fund.	.111	.750	1.000								
4. % Ethnic Minorities	.265	.835	.819	1.000							
5. Dist. Enroll.	.386	-.128	-.095	.035	1.000						
6. Population Index	.529	.015	.136	.263	.673	1.000					
7. Competitive Grants	.378	.127	.209	.348	.638	.688	1.000				
8. % Growth	.243	-.094	-.223	-.098	.079	.029	-.027	1.000			
9. Total Grant $	.301	-.059	.013	.111	.957	.669	.742	-.044	1.000		
10. N. Admin.	.343	-.016	-.041	.107	.969	.590	.597	.026	.951	1.000	
11. N. Prin. & Teachers	.384	-.074	-.048	.091	.997	.671	.651	.048	.967	.978	1.000

their means, standard deviations, and the required F-values are shown in Table 3.5 below.

It is interesting to note that the most potent variable in discriminating between districts at the two different levels of Title IV-C involvement is the average rating by USOE administrators and staff of district innovativeness. Even if causation could be legitimately inferred from this analysis (which it cannot), it would be impossible to determine the direction of the causation. Since ratings of USOE officials associated with awarding Part C funds were excluded, however, it would seem that perception of a district's innovativeness would have to be rather pervasive through the USOE (and therefore deserved?) before it would impact on this analysis, and that the most likely interpretation is that innovative districts do indeed submit proposals more often and compete better in Title IV-C competitions. Although somewhat impressionistic, data from telephone and personal interviews with district officials lend strong support to this interpretation. Some districts with low participation in Title IV-C are outspoken in their assessment of the basic focus of Title IV-C as dealing with ". . .frills or fancy ideas which might be fine in Salt Lake but have no use out here where we are lucky if we can even keep a reasonably competent teacher in every classroom" (Interviewee No. 5).

Although offered as opinion, not fact, it is the judgment of the evaluators that this variable is not an artifact but that its appearance in the analysis reflects an obvious relationship that exists between perceived innovativeness of a district and its history of involvement in Part C funding.

Since the "population index" which emerges as a discriminating variable in Table 3.5 is identical with the State's four-category system for sorting school districts by size, results shown for that variable are really only another way of showing the strong relationships that were portrayed earlier in Table 3.2.

Table 3.5

Means, Standard Deviations, and Summary of F Values for Discriminating Variables at Each Step in the Discriminant Analysis

Variable	F-Value to Remove At:				Group 1 "High Involvement"		Group 2 "Low Involvement"	
	Step 1	Step 2	Step 3	Step 4	$\bar{X}$	SD	$\bar{X}$	SD
1. Innovativeness Index	25.130	5.936	5.772	7.239	3.18*	.48	2.42*	.48
2. Population Index		2.951	3.175	2.357	2.14**	.99	3.44**	.78
3. % Federal Funding			2.199	3.098	7.41	2.83	9.08	5.37
4. % District Growth				2.089	5.83	11.91	7.68	11.94

* On a five-point scale, where 5 = "high in innovativeness"

** On a four-point scale where 4 = largest districts (10,000+ enrollments)

Although the differences in group means shown in Table 3.5 for "% Federal Funding" and "% District Growth" may be too small to have much practical significance, combined with the other variables, they suggest that districts which are relatively uninvolved in Title IV-C funding tend to be districts that have: (1) small enrollments; (2) more rapid increases in enrollment to cope with; (3) slightly higher proportions of their funds from Federal sources; and (4) less innovativeness as judged by observers in the USOE.

The extent to which these four variables could be used in combination to predict accurately *a priori* a particular district's membership in the "high" vs. "low" involvement groups is shown in Table 3.6. This shows there would be a 75% rate of discriminating correctly, based on the combined use of the four variables which emerged from the step-wise analysis described above.

Results From the Questionnaire Survey

The results yielded by each question from the mailed questionnaire survey are summarized below, with the actual question included to avoid the loss of information or subtle shifts typical when such questions are restated or condensed into abbreviated labels. Where relevant, information from the telephone or personal interviews are included to provide clarification or supplementary information.

Awareness of the opportunity to apply for Title IV-C funds. As shown in Table 3.7, almost all of the 18 districts included in the sample indicate that they are aware of the Title IV-C RFPs which are distributed annually to all school districts. It does not appear that lack of awareness of the opportunity to apply for Title IV-C funds is a factor that can be used to explain low levels of involvement of districts in the sample.

Table 3.6

Percent Accuracy in Predicting Involvement in Title IV-C Funding Based Only On Use of All Discriminating Variables in Discriminant Analysis

Actual Group	No. of Cases	Predicted Group Membership High Involvement	Predicted Group Membership Low Involvement
High Involvement	22 (100%)	16 (72.7%)	6 (27.3%)
Low Involvement	18 (100%)	4 (22.2%)	14 (77.8%)

Percent of "Grouped" Cases Correctly Classified = 75.0%

Table 3.7

Awareness of "Request for Title IV - Part C Proposals" (RFP) by Districts Not Heavily Involved in Title IV-C Funding

2. On February 2, 1981, the Utah State Office of Education (USOE) sent a "Request for Title IV - Part C Proposals" memorandum to all local district superintendents. Similar memoranda have been sent out each year for the past several years. Do these memoranda typically come to your attention? (Check ONE)

	YES	NO	TOTAL
N	17	1	18
%	94	6	100

Analysis structure. Questions 5 and 6 are presented here out of sequence, since they constitute the basis analysis structure around which much of the following data analysis and reporting is organized. The intent of this procedure was to differentiate on all items between districts which have submitted Title IV-C proposals and those districts which have not chosen to do so. For those districts which have submitted proposals, it was judged important to differentiate on all relevant items between those who had succeeded in having one or more of their proposals funded versus those who had never experienced such success.

Figure 3.1 below shows the basic analytic structure, along with the labeling of each group shown in the tables used throughout this section. For example, group 5 listed in later tables includes those persons who indicated they have submitted one or more Title IV-C proposals (answering yes to item 5), but who were unsuccessful in having any of those proposals funded (answering no to item 6). District responses to questions 5 and 6 and the resultant groupings are shown in Table 3.8.

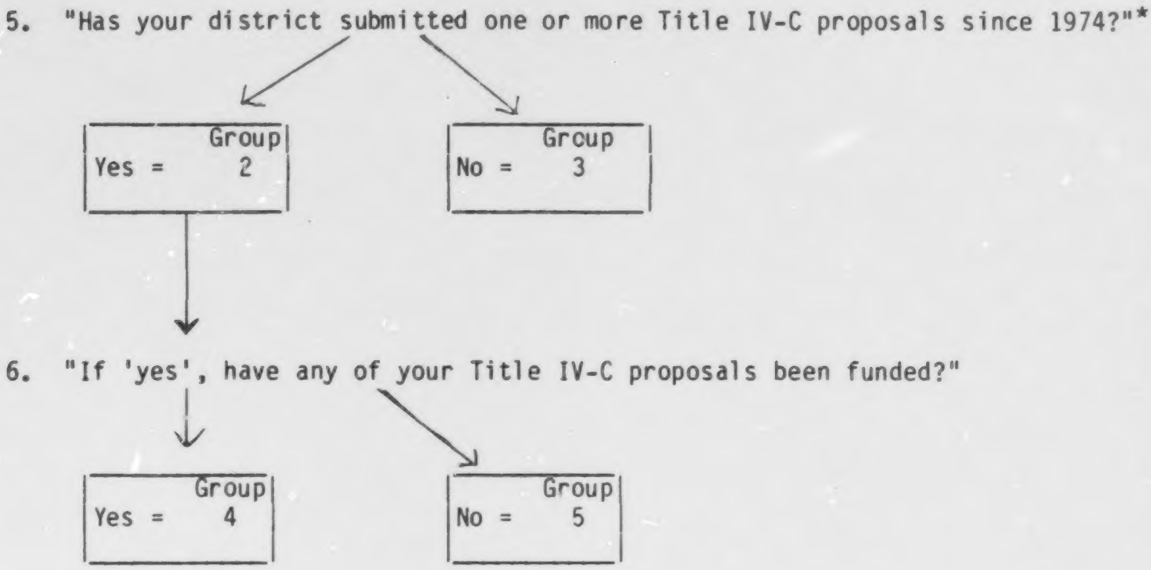
5. "Has your district submitted one or more Title IV-C proposals since 1974?"*
Yes = Group 2
No = Group 3
6. "If 'yes', have any of your Title IV-C proposals been funded?"
Yes = Group 4
No = Group 5

Figure 3.1: Structure for Questionnaire Analysis

Table 3.8

Participation and Success in Submitting Title IV-C Proposals for Those Districts Not Heavily Involved in Title IV-C Funding

	Yes	No	NR	Total
5. Has your district submitted one or more Title IV-C proposals since 1974? (Check ONE)	14 (78%)	2 (14%)	2 (11%)	18 (100%)
6. If "Yes," have any of your Title IV-C proposals been funded? (Check ONE)	11 (79%)	2 (14%)	1 (7%)	14 (100%)*

NOTE: NR = No Response
* 100% of those who responded "yes" to item 5 above.

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*This question was asked of all districts in the sample.

Evaluation of the usefulness of the Title IV-C RFPs. All respondents in the sample were asked to evaluate on several dimensions the usefulness of the Title IV-C RFPs issued by the USOE. Their responses are summarized in Table 3.9.

Frequency distributions are provided for each item, since the small number of respondents in groups 3 and 5 make interpretations based on means alone somewhat suspect.

As can be seen from an examination of the data in Table 3.9, all districts were generally favorable toward the information contained in the RFPs which have been distributed by the USOE. They seem particularly clear and positive about the information provided to them on the purpose of Part C funding and their districts eligiblity to compete for Part C funds. Most districts also perceived the information about (a) proposal requirements, (b) the process for reviewing and awarding Part C proposals, and (c) where to obtain assistance needed to develop a proposal as sufficient or reasonably sufficient.

These areas were probed in several of the telephone and personal interviews, resulting in the following observations:

- Five interviewees indicated that, although they were aware of the proposal specifications outlined in the RFP, they had little intention of following them, since adherence to required formats had never been used by USOE in the past as a basis for screening proposals. One respondent indicated that his district had been rather startled when they had recently submitted a Title IV-C proposal which was rejected because they chose to ignore the required proposal specifications.

- Although most respondents had indicated in their response to question 3e that the RFP provided them with sufficient information on where to obtain help they might need to develop a proposal, the telephone and personal interviews raised serious questions about the extent to which those responses are accurate. All eight interviewees were asked how they would go about obtaining help they thought might be necessary to develop a proposal. Six of the eight expressed uncertainty or indicated they would ask friends in other school districts to find out if they knew anyone who might be helpful with such tasks. Only two interviewees initially mentioned the EPA pool of technical assistants maintained by the USOE for such purposes, although four additional interviewees evidenced that they were aware of and understood the

Table 3.9

Evaluation of Usefulness of RFP by Districts Not Heavily Involved in Title IV-C Funding

3. If "Yes," we would like your evaluation of the extent to which those memoranda have provided you with sufficient and appropriate information on the following dimensions: (Circle ONE response for each row)

	Sufficient Information				Insufficient Information			
	1	2	3	4	5	NR	Total	$\overline{X}$
a. information on purpose of Part C funding								
1. All districts in sample	6	9	2	0	0	1	18	1.8
2. Districts submitting since 1974	5	8	1	0	0	0	14	1.7
3. Districts not submitting since 1974	1	1	1	0	0	1	4	2.0
4. Districts with successful proposals	4	6	1	0	0	0	11	1.7
5. Districts without successful proposals	1	2	0	0	0	0	3	1.7

	Sufficient Information				Insufficient Information			
	1	2	3	4	5	NR	Total	$\overline{X}$
b. information on whether your district is eligible to compete for Part C funds								
1. All districts in sample	7	8	2	0	0	1	18	1.7
2. Districts submitting since 1974	6	7	1	0	0	0	14	1.6
3. Districts not submitting since 1974	1	1	1	0	0	1	4	2.0
4. Districts with successful proposals	5	5	1	0	0	0	11	1.6
5. Districts without successful proposals	1	2	0	0	0	0	3	1.7

(Continued on next page)

Table 3.9 Continued

	Sufficient Information				Insufficient Information			
	1	2	3	4	5	NR	Total	X̄
c. information for Part C proposal requirements								
1. All districts in sample	4	9	3	1	0	1	18	2.1
2. Districts submitting since 1974	4	7	2	1	0	0	14	2.0
3. Districts not submitting since 1974	0	2	1	0	0	1	4	2.3
4. Districts with successful proposals	3	7	0	1	0	0	11	1.9
5. Districts without successful proposals	1	0	2	0	0	0	3	2.3

	Sufficient Information				Insufficient Information			
	1	2	3	4	5	NR	Total	X̄
d. information on the process for reviewing and awarding Part C proposals								
1. All districts in sample	4	7	3	2	1	1	18	2.4
2. Districts submitting since 1974	4	6	1	2	1	0	14	2.3
3. Districts not submitting since 1974	0	1	2	0	0	1	4	2.7
4. Districts with successful proposals	3	5	1	1	1	0	11	2.4
5. Districts without successful proposals	1	1	0	1	0	0	3	2.3

(Continued on next page)

Table 3.9 Continued

	Sufficient Information			Insufficient Information				
	1	2	3	4	5	NR	Total	$\bar{X}$
e. information on where to obtain help (if needed) in developing a proposal								
1. All districts in sample	4	7	5	1	0	1	18	2.2
2. Districts submitting since 1974	4	6	3	1	0	0	14	2.1
3. Districts not submitting since 1974	0	1	2	0	0	1	4	2.7
4. Districts with successful proposals	3	6	1	1	0	0	11	2.0
5. Districts without successful proposals	1	0	2	0	0	0	3	2.3

purpose of the EPAs when they were queried directly about it. Despite considerable efforts on the part of USOE, there continues to be in the minds of many respondents in "low involvement" districts a general unclarity about the role and availability of EPAs.

With only one respondent to question 4, no analysis is provided here.

Reasons why districts believed their Title IV-C proposals were unsuccessful. All respondents in districts which had submitted Title IV-C proposals were asked to indicate what reasons they believed accounted for their unsuccessful proposals not being funded. A summary of their responses appears below in Table 3.10.

The most interesting comparisons in this table come from comparing districts with successful proposals since 1974 versus districts without successful proposals for 1974 with "minor reason" and "major reason" collapsed to contrast with "not a reason." These comparisons give rise to the following observations.

Respondents from both successful and unsuccessful districts were divided into whether they believed the quality of their proposal was a factor in the decision not to fund it, with a slight majority feeling that proposal quality did play a role.

Respondents from both successful and unsuccessful districts tended to feel that their personnel had good ideas but are not trained to be good proposal writers; this is especially true for districts without successful proposals. This was also borne out by the telephone interviews, where three interviewees indicated that they believed their ideas were much more innovative than most of the Title IV-C proposals in the state, but that they lacked personnel with grantsmanship abilities to translate their ideas into proposals.

Districts with successful proposals were divided into whether or not their ability to obtain technical assistance impacted on the decision to fund

Table 3.10

Reasons Districts Which Submitted Title IV-C Proposals Believed Their Unsuccessful Proposals Were Not Funded

7. For any year(s) your district's Title IV-C proposal(s) did not receive funding (since 1974), we would like to know what you believe to be the reason(s) why that occurred. For each possible reason listed below, please circle ONE response to indicate whether you think that was a major reason, a minor reason, or not a reason for the decision not to fund your proposal(s).

a. doubt our proposal was good enough to be competitive	Not a Reason 1	Minor Reason 2	Major Reason 3	NR	Total	$\overline{X}$
1. Districts submitting since 1974	4	1	5	4	14	2.1
4. Districts with successful proposals	3	1	3	4	11	2.0
5. Districts without successful proposals	1	0	2	0	3	2.3

b. our personnel have good ideas but are not trained to be good proposal writers	Not a Reason 1	Minor Reason 2	Major Reason 3	NR	Total	$\overline{X}$
1. Districts submitting since 1974	3	4	4	3	14	2.1
4. Districts with successful proposals	3	3	2	3	11	1.9
5. Districts without successful proposals	0	1	2	0	3	2.7

(Continued on next page)

c. we were unable to obtain technical assistance necessary to write technical sections of the proposal (e.g., evaluation design)

	Not a Reason	Minor Reason	Major Reason			
	1	2	3	NR	Total	$\bar{X}$
1. Districts submitting since 1974	4	2	5	3	14	2.1
4. Districts with successful proposals	4	1	3	3	11	1.9
5. Districts without successful proposals	0	1	2	0	3	2.7

d. our personnel have the expertise but lacked the time to prepare a competitive proposal

	Not a Reason	Minor Reason	Major Reason			
	1	2	3	NR	Total	$\bar{X}$
1. Districts submitting since 1974	5	3	3	3	14	1.8
4. Districts with successful proposals	4	3	1	3	11	1.6
5. Districts without successful proposals	1	0	2	0	3	2.3

e. proposal was good, but budget was too high for available funds

	Not a Reason	Minor Reason	Major Reason			
	1	2	3	NR	Total	$\bar{X}$
1. Districts submitting since 1974	3	5	2	4	14	1.9
4. Districts with successful proposals	0	5	2	4	11	2.3
5. Districts without successful proposals	3	0	0	0	3	1.0

(Continued on next page)

f. competition was biased against proposals from districts like ours

	Not a Reason 1	Minor Reason 2	Major Reason 3	NR	Total	$\bar{X}$
1. Districts submitting since 1974	6	1	2	5	14	1.6
4. Districts with successful proposals	5	1	0	5	11	1.2
5. Districts without successful proposals	1	0	2	0	3	2.3

g. competition was biased against proposals dealing with the type of project we proposed

	Not a Reason 1	Minor Reason 2	Major Reason 3	NR	Total	$\bar{X}$
1. Districts submitting since 1974	6	2	1	5	14	1.4
4. Districts with successful proposals	3	2	1	5	11	1.7
5. Districts without successful proposals	3	0	0	0	3	1.0

h. other (please explain): Three districts provided the following responses to this item.

- o Difficult to know; we receive no feedback as to why proposals were rated as they were.
- o We have been funded every time we have submitted a proposal.
- o Some districts always get Title IV-C funding; we don't.

their proposal; conversely, districts without successful proposals were unanimous that their inability to obtain technical assistance played a factor in their proposal being rejected.

There was no clear pattern as to how respondents perceived time constraints as a major factor in impeding their efforts to have proposals funded, but it appeared that unsuccessful districts tended to view this as a problem somewhat more often than their counterparts in districts which had succeeded in obtaining Title IV-C funding.

There is a sharp difference of opinion between successful and unsuccessful districts and their perception of whether or not their proposed budget being too high for available funds played a role in the final decision. Districts with successful proposals all felt that this factor played a role (perhaps because of their experience in negotiating budgets when they had successful proposals), whereas districts without successful proposals did not believe their proposed budget was a reason for the decision not to fund their project.

A large majority of the respondents from successful districts indicated that they did not believe Title IV-C competitions to be biased against proposals from districts like theirs, whereas the majority of the respondents from unsuccessful districts felt that bias against districts such as theirs was a major factor in the funding decision.

Perceived bias in the Title IV-C funding competition against types of projects proposed was not perceived to be a problem by any of the respondents from unsuccessful districts, whereas respondents from successful districts were evenly divided in believing that this was and was not a factor. All persons who responded to the items summarized in Table 3.10 above were asked:

8. Do you feel your responses to item 7 above adequately reflect the reason(s) why your district's Title IV-C proposal(s) did not receive funding? If so, skip to item 9. If not, please supplement your above response by explaining in your own words why you believe the proposal(s) did not receive funding. Use the back of this sheet if necessary.

Eleven respondents answered affirmatively, indicating their perceptions were reflected adequately in the response alternatives provided. Three provided the following supplementary information:

- "It would be better to fund one or two projects fully than to give a little funding to all proposals."
- "The RFP requires unnecessary information to be included in the proposals for adoptable projects."
- "Our district is not big enough to have proposal writers on our staff; yet when we seek outside technical assistance, we find they can write winning proposals but are not in the district long enough to make them relate very well to our real needs."

Reasons why districts choose not to submit proposals. Respondents in all 18 districts in the sample were asked about the reasons why they decided not to submit a Title IV-C proposal for any year(s) in which they did not participate in the funding competition. Their responses are summarized in Table 3.11 below.

Based on the results shown in Table 3.11, it seems evident that almost all districts knew about the Title IV-C funding competition in time to submit a proposal; nearly 80 percent of the respondents who answered the question indicated that was not a reason for their decision not to submit a proposal.

Slightly more respondents indicated that their district preferred to fund its own innovative programs without reliance on outside funding that may have "strings attached" and thus lessen local control of schooling. This was still not a strong trend, however, and a majority of respondents indicated they did not believe that this played a factor in the decision not to submit a proposal.

Table 3.11

Reasons Why Districts Not Heavily Involved in Title IV-C Funding Chose Not To Submit Proposals

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9. For any year(s) in which your district did not submit a Title IV-C proposal (since 1974), please indicate for each possible reason listed below whether it was a major reason, a minor reason, or not a reason for the decision not to apply for Title IV-C funds. (Circle ONE for each item)

a. did not know about the competition in time to submit a proposal

	Not a Reason 1	Minor Reason 2	Major Reason 3	NR	Total	$\bar{X}$
1. All districts in sample	11	2	1	4	18	1.3
2. Districts submitting since 1974	9	1	1	3	14	1.3
3. Districts not submitting since 1974	2	1	0	1	4	1.3
4. Districts with successful proposals	6	1	1	3	11	1.4
5. Districts without successful proposals	3	0	0	0	3	1.0

b. district prefers to fund its own innovative programs without reliance on outside funding that may have "strings attached" and thus lessen local control of schooling

	Not a Reason 1	Minor Reason 2	Major Reason 3	NR	Total	$\bar{X}$
1. All districts in sample	9	4	2	3	18	1.5
2. Districts submitting since 1974	8	2	2	2	14	1.5
3. Districts not submitting since 1974	1	2	0	1	4	1.6
4. Districts with successful proposals	6	2	1	2	11	1.4
5. Districts without successful proposals	2	0	1	0	3	1.6

(Continued on next page)

Table 3.11 Continued

c. Title IV-C focus is not a district priority	Not a Reason 1	Minor Reason 2	Major Reason 3	NR	Total	$\bar{X}$
1. All districts in sample	7	5	3	3	18	1.7
2. Districts submitting since 1974	6	4	2	2	14	1.7
3. Districts not submitting since 1974	1	1	1	1	4	2.0
4. Districts with successful proposals	6	2	1	2	11	1.4
5. Districts without successful proposals	0	3	0	0	3	2.0

d. district financial status such that all important programs could be funded from district funds without the need to write proposals for funds	Not a Reason 1	Minor Reason 2	Major Reason 3	NR	Total	$\bar{X}$
1. All districts in sample	14	1	0	3	18	1.1
2. Districts submitting since 1974	11	1	0	2	14	1.1
3. Districts not submitting since 1974	3	0	0	1	4	1.0
4. Districts with successful proposals	9	0	0	2	11	1.0
5. Districts without successful proposals	2	1	0	0	3	1.3

(Continued on next page)

Table 3.11 Continued

e. personnel with expertise to write a proposal already fully committed, with no time for proposal development	Not a Reason 1	Minor Reason 2	Major Reason 3	NR	Total	X̄
1. All districts in sample	3	5	7	3	18	2.2
2. Districts submitting since 1974	3	4	5	2	14	2.2
3. Districts not submitting since 1974	0	1	2	1	4	2.7
4. Districts with successful proposals	2	4	3	2	11	2.1
5. Districts without successful proposals	1	0	2	0	3	2.3

f. no personnel available with the technical expertise required to write a Title IV-C proposal	Not a Reason 1	Minor Reason 2	Major Reason 3	NR	Total	X̄
1. All districts in sample	2	6	7	3	18	2.3
2. Districts submitting since 1974	2	5	5	2	14	2.3
3. Districts not submitting since 1974	0	1	2	1	4	2.7
4. Districts with successful proposals	1	4	4	2	11	2.3
5. Districts without successful proposals	1	1	1	0	3	2.0

(Continued on next page)

Table 3.11 Continued

g. could write a competitive proposal, but no personnel available to run the project if it were funded	Not a Reason 1	Minor Reason 2	Major Reason 3	NR	Total	$\overline{X}$
1. All districts in sample	4	7	4	3	18	2.0
2. Districts submitting since 1974	4	4	4	2	14	2.0
3. Districts not submitting since 1974	0	3	0	1	4	2.0
4. Districts with successful proposals	3	2	4	2	11	2.1
5. Districts without successful proposals	1	2	0	0	3	1.7

h. felt our proposal would not complete well with those of districts who possess "grantsmen" to write such proposals	Not a Reason 1	Minor Reason 2	Major Reason 3	NR	Total	$\overline{X}$
1. All districts in sample	8	4	3	3	18	1.7
2. Districts submitting since 1974	6	3	3	2	14	1.8
3. Districts not submitting since 1974	2	1	0	1	4	1.3
4. Districts with successful proposals	5	2	2	2	11	1.7
5. Districts without successful proposals	1	1	1	0	3	2.0

(Continued on next page)

Table 3.11 Continued

i. do not believe the competition is unbiased; it does not provide a fair opportunity for districts such as ours to compete favorably	Not a Reason 1	Minor Reason 2	Major Reason 3	NR	Total	$\overline{X}$
1. All districts in sample	9	5	1	3	18	1.5
2. Districts submitting since 1974	6	5	1	2	14	1.6
3. Districts not submitting since 1974	3	0	0	1	4	1.0
4. Districts with successful proposals	5	4	0	2	11	1.4
5. Districts without successful proposals	1	1	1	0	3	2.0

j. other (please explain):

Five districts provided the following responses to this item:

- "It costs more to write than we ever receive or could receive from Title IV funding."
- "It costs too much to write the proposal proportion in to what we can receive. Every year they end up cutting the budget, but never cut the scope of work."
- "We have received reasonable funding."
- "The application became so involved and complicated, beginning last year, that it wasn't worth the time and trouble to fill it out. Before that, the applications were so easy that we applied and were funded just like Title I."
- "Our isolation, small enrollment, and number of staff makes most innovative programs infeasible."

Districts were mixed as to whether or not they believed the priority given to Title IV-C in their district played a role in their decision as to whether to submit a proposal, but they were nearly unanimous in rejecting as a possible reason the hypothesis that their district's financial status was such that all important programs could be funded from district funds without the need to write proposals for outside funds.

A majority of districts indicated that one reason they chose not to submit proposals was the fact that their personnel with expertise to write a proposal were already fully committed with no additional time for proposal development. This was true for persons in all the subgroups analyzed, suggesting that this is a pervasive factor. Similarly, an even larger proportion of respondents in all categories indicated that the lack of available personnel with technical expertise required to write a Title IV-C proposal played a significant role in their decision to not participate in the funding competition. During the telephone and personal interviews, several interviewees indicated that they had little doubt they could write a competitive proposal but that they had no time for such activities. Interestingly, these individuals saw outside technical assistance as necessary for them to compete in Title IV-C funding, even though they had relevant expertise represented in their district. Again, however, several interviewees did not seem particularly aware of the resource available to them in the USOE-maintained EPA pool.

Although reactions were mixed, a majority of respondents indicated that they could write a competitive proposal but sometimes found there were insufficient personnel to run the project if it were funded and, therefore, did not enter the funding competition. This reason was particularly stressed during the telephone interviews, with five individuals indicating that it was their primary reason for not submitting a proposal.

Districts did not seem particularly concerned about their proposals not faring well against those from districts who possess "grantsmen" to write competitive proposals. It was listed by several districts as a possible reason, but a slight majority indicated that they did not believe this played a role in their decision not to submit proposals.

The results were similar on whether or not repondents believe the competition to be unbiased against districts such as theirs, with a slight majority indicating they did not believe that to be a reason.

Perhaps the most insightful (at least poignant and reflective) analysis of a district's reasons for not submitting a Title IV-C proposal came during one of the personal interviews. The interviewee explained in some detail the difficulty faced by a small district, with a small enrollment and a small number of staff members, spread across a wide geographic area in an isolated region of the state. In his judgment, a majority of the innovative programs are simply infeasible because of pressures upon staff to simply maintain basic services. Although he indicated there were sometimes innovative ways to meet the needs for basic services, they typically failed to qualify under Title IV-C guidelines as "innovative programs" that met the spirit of Part C. He further noted that there was simply no possibility of their staff devoting the time to conduct a developmental project, that it was extremely difficult to retain their current staff let alone recruit the additional staff necessary to conduct a Title IV-C developmental project that would help them meet specific innovative needs of the district. He also argued convincingly that none of the Title IV-C adoptable projects were directly applicable or even readily adaptable to the peculiar needs of such small rural districts. He suggested that the reasons that districts such as his (referring to small and geographically isolated districts) choose not to submit Title IV-C proposals should not be interpreted as reflecting unfairness on the part of the USOE, but rather the simple but profound differences which exist between districts of that type and districts where basic services may be taken for granted and additional innovative programs developed or adopted to enhance the educational opportunities for youngsters in those districts. In essence, he suggested that it was asking the wrong question to worry unduly about whether such districts could participate in Title IV-C; he felt it was much more basic to ask whether or not they could meet the essential needs for schooling of the population entrusted to their care. Although this summary may do an injustice to the sentiments expressed by this interviewee, they were found by this evaluator to be compelling and are offered here for the reader's reflection.

In responding to the following question, 16 respondents answered affirmatively.

10. Do you feel your responses to item 9 above adequately reflect the reason(s) why your district decided not to apply for Title IV-C funding during the years for which that was true? If not, please supplement your above response by explaining in your own words why your district decided not to apply. Use the back of this sheet if necessary.

Supplementary statements from the other two respondents are provided below.

- "We feel many Part C adoptables are perhaps not worth the effort of applying for the project, monitoring , and reporting. The actual effect on students is minimal. The amount of funding available is in such small amounts that no appreciable difference to existing programs is felt.

- We applied only once over those seven years--didn't make it that year and thought our proposal was good (did get it funded from other state sources however.) Since that time we have not seen any of those currently picking up most of the funding in which we were interested--two reasons:

  1. We realize the ongoing commitment after "seeding" so may actually be buying into a greater budget commitment down the road.

> 2. We prefer as a general rule to do our own selection of methods to meet our needs--a lot less nuisance. We just identify and solve our own problems--no paper hassle, no staffing problems, no feedback responsibilities, no sharing of controls. We know that most adoptables are total adoption or not at all and although there are some excellent programs we haven't wanted to take them on in total.
>
> We had expected to apply for one this year which would have been helpful to us--just ran out of time--perhaps next year.

Reactions to Title IV-C projects funded through regional service centers. As was mentioned earlier, 13 of the 18 districts in the sample are located within the service regions of centers which had received Title IV-C projects intended to meet the needs of all districts within their region. Therefore, all respondents in these districts were asked to give their opinions of the services and benefits that came to their district from funding of this project through their regional service center. These responses are summarized in Table 3.12 below.

In examining the results in Table 3.12, it is interesting to compare the average ratings of districts which either did not submit any Title IV-C proposals or which were unsuccessful in such submissions with the ratings of districts who did submit and were successful. For example, successful districts were much more likely to agree that Title IV-C projects funded through their regional service center address important needs in their district than were their counterparts who had not submitted proposals or who had been unsuccessful in their efforts. The same trend was observed in respondents' ratings of: (1) the extent to which their district receives an equitable share of the services and benefits that the regional service center Title IV-C project brought to that service region, and (2) the extent to which the service center's project was viewed as having served their district sufficiently well that the respondent would hope to see the project continued.

Table 3.12

Extent to Which Districts Not Heavily Involved in Title IV-C Funding Believe Title IV-C Projects Funded to Their Regional Service Center Meet Their District's Needs

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11. As you know, your district is designated to receive service from the ______________________________. That center received the following Title IV-C grant.

__________ (Years)   ______________________________ (Project)

The USOE Title IV-C staff intended that this Title IV-C project would serve the needs of your district, along with the other districts in your service region. In other words, it was intended that your district would share equally in the services and benefits that came from funding of this project. Please indicate your opinion as to how well this has worked out by circling ONE response for each item below.

a. The project listed above addresses important needs in our district	Strongly Agree 1	2	3	4	Strongly Disagree 5	NR	Total	$\overline{X}$
1. All districts in sample	1	4	2	2	1	8	18	2.5
2. Districts submitting since 1974	1	3	1	2	0	7	14	2.6
3. Districts not submitting since 1974	0	1	1	0	1	1	4	3.3
4. Districts with successful proposals	1	3	0	1	0	6	11	2.2
5. Districts without successful proposals	0	0	1	1	0	1	3	3.5

b. The project listed above fits the needs of the majority of districts in our service region	Strongly Agree 1	2	3	4	Strongly Disagree 5	NR	Total	$\overline{X}$
1. All districts in sample	1	6	2	0	0	9	18	2.1
2. Districts submitting since 1974	1	4	1	0	0	8	14	2.0
3. Districts not submitting since 1974	0	2	1	0	0	1	4	2.3
4. Districts with successful proposals	1	2	1	0	0	7	11	2.0
5. Districts without successful proposals	0	2	0	0	0	1	3	2.0

(Continued on next page)

Table 3.12 Continued

c.	Our district receives an equitable share of the services and benefits that this project brings to our service region	Strongly Agree 1	2	3	4	Strongly Disagree 5	NR	Total	$\bar{X}$
1.	All districts in sample	2	2	2	2	2	8	18	3.0
2.	Districts submitting since 1974	2	1	1	2	1	7	14	2.9
3.	Districts not submitting since 1974	0	1	1	0	1	1	4	3.3
4.	Districts with successful proposals	2	1	1	1	0	6	11	2.2
5.	Districts without successful proposals	0	0	0	1	1	1	3	4.5

d.	The funds that went into this project could have been used more productively if they had gone directly to local districts	Strongly Agree 1	2	3	4	Strongly Disagree 5	NR	Total	$\bar{X}$
1.	All districts in sample	1	1	1	5	1	9	18	3.4
2.	Districts submitting since 1974	1	0	1	3	1	8	14	3.5
3.	Districts not submitting since 1974	0	1	0	2	0	1	4	3.3
4.	Districts with successful proposals	1	0	1	2	1	6	11	3.4
5.	Districts without successful proposals	0	0	0	1	0	2	3	4.0

e.	On balance, I feel our district is (has been) well served in Title IV-C through the project listed above and would hope for its continuation	Strongly Agree 1	2	3	4	Strongly Disagree 5	NR	Total	$\bar{X}$
1.	All districts in sample	2	4	2	2	0	8	18	2.4
2.	Districts submitting since 1974	2	2	2	1	0	7	14	2.3
3.	Districts not submitting since 1974	0	2	0	1	0	1	4	2.6
4.	Districts with successful proposals	2	1	2	0	0	6	11	2.0
5.	Districts without successful proposals	0	1	0	1	0	1	3	3.0

Conversely, there were virtually no differences among respondents on their ratings of the extent to which regional service center Title IV-C projects fit the needs of the majority of districts in their service region, with most respondents agreeing with this statement. Interestingly, a sizeable majority of respondents indicated that they did not feel that the funds that went into the service center's Title IV-C project could have been used more productively if they had gone to local districts.

In general then, the concern (which surfaced in the Rand study that was discussed earlier in this chapter) that supplementary service centers "cream off" Title IV-C funds and compete for funding with local districts who could be better served if they obtained the funds directly was not replicated in the present study. Although some concerns were evident, the general reactions of districts served by Title IV-C projects through regional service centers seems positive.

When specific service centers are isolated and the ratings of respondents within those regions analyzed, the results that emerge can be seen in Table 3.13 below. Service centers are not labelled, so that their anonymity will be preserved.

It is clear from the ratings shown in Table 3.13 that funding of Title IV-C projects through service centers yield as diverse results as funding them through local districts. Some service center projects are very effective and some are much less so. The data indicate that USOE officials should be cautious in reviewing and funding proposals through this modality to make certain the particular Title IV-C proposals funded will provide quality service to the local districts intended to be served in those regions.

Respondents who rated the benefit their district received from their service center's Title IV-C project were asked the following question:

Table 3.13

Mean Ratings of Three Regional Service Center's Title IV-C Projects by Districts, Intended to be Served by Those Projects

Item	Service Region and Project		
	Region J	Region K	Region L
a. project addresses important needs in our district	2.3	5.0	1.8
b. project fits needs of majority of districts in our region	1.8	3.0	1.7
c. our district gets a fair share of the services and benefits the project brings to our region	3.0	3.0	1.9
d. project funds could have been used more productively if they had gone directly to board schools	3.0	2.5	4.3
e. overall, our district was well served by the project and it should be continued	2.8	4.0	1.7

NOTE: Ratings for all items were on a scale where 1 = "strongly agree" and 5 = "strongly disagree."

12. Do you feel your responses to item 11 above adequately reflect your feelings about the extent to which your district benefits from the Title IV-C project listed earlier? If not, please provide additional comments here, using the back of the sheet if necessary.

Six respondents answered affirmatively. The other four respondents provided the following comments:

- "How can $3,500 serve 7 districts?"
- "I cannot answer this question, since none of the people I have talked with in the district are aware of this project -- maybe that is an answer in and of itself."

- "This is a very good project but it is not relevant to the needs of our district."
- The center is too far from the schools in our district to service them with this project; the project is useful only to schools and districts quite near to the center."

Conclusions and Recommendations

The results provided in the preceding section are intended to answer questions relating to LEAs opportunities for participation and ability to be competitive for Title IV-C funding. It is hoped that the information provided will be useful to USOE and the Title IV State Advisory Council in deciding what types of technical assistance should be provided to districts in the future to enable all of them who wish to compete equitably for Title IV-C funding to do so.

To highlight the data summarized above, the six evaluative questions for Component 7.0 are used here as organizers, along with answers which are indicated by the evaluation data.

1. What factors are related to Utah school district's participation and non-participation in Title IV-C funding?

Four district/demographic variables were found to discriminate between districts with high levels and districts with low levels of involvement in Title IV-C funding. They were: (a) innovativeness of the district, as judged by USOE adminstrators and staff; (b) district population size; (c) the percentage of district funds received from federal sources; and (d) percentage of growth in district enrollments. Districts which are relatively uninvolved in Title IV-C funding tend to be districts that have small enrollments, more rapid increases in enrollment to cope with, slightly higher proportions of their funds from Federal sources, and less innovativeness as judged by USOE observers.

2. Are all districts fully aware of the opportunity to apply for Title IV-C funds and the guidelines to be followed in applying?

The answer is affirmative; 94 percent of the districts who have been relatively uninvolved in Title IV-C funding over the years indicated they are aware of the opportunity to apply for such funds and dc receive the Title IV-C RFPs which are distributed annual to all school districts. Further, the "low involvement" districts indicated that they were aware of upcoming Title IV-C funding competitions in time to submit a proposal had they wished to do so. It does not appear that lack of awareness or short notice of the opportunity to apply for Title IV-C funds is a factor that can be used to explain low levels of involvement of any Utah school districts.

3. Do all districts have relevant technical expertise available to prepare a competitive Part C proposals or, if not, do they know where and how to obtain such assistance through the USOE?

Utah's school districts vary widely in their response to this question and it is therefore not possible to answer it unequivocally in a way which will pertain to all districts. The following summary will, however, be representative of most of the districts in the State.

A large majority of the "low involvement" districts indicated that there were no personnel available with the technical expertise required to write a Title IV-C proposal. A number of these districts indicated they possessed personnel with expertise to write such a proposal, but that these individuals were already fully committed and had no time for proposal development. Many other districts indicated they lack personnel with grantsmanship abilities (even though they rated district personnel as having good ideas). This statement was made proportionately more often by districts which had not succeeded in having a Title IV-C proposal funded. Most of the districts who have historically not participated heavily in Title IV-C funding indicated that outside technical assistance was necessary for them to compete in this area; interestingly, this response was almost as typical of districts who claimed they possessed relevant expertise on their staff as it was the districts who reported no such expertise.

Most districts indicated that they received sufficient information from the USOE about where to obtain technical assistance needed to develop proposals. Interestingly, when asked during interviews about where and how they would obtain such assistance through the USOE, most respondents were vague and did not evidence much understanding of the role or function of the EPA pool maintained by the USOE. It would appear that continued efforts must be made to apprise school districts of the availablity of appropriate technical assistance and, where appropriate, to mandate as a condition of funding that districts avail themselves of such assistance in the areas where they cannot demonstrate that it is possessed by relevant district staff members.

4. What reasons do districts which have submitted unsuccessful Part C proposals believe account for their lack of success?

Both districts with unsuccessful proposals since 1974 and districts with successful proposals during the same period gave several reasons why they thought unsuccessful proposals were rejected. Their responses are too complex and detailed to permit them to be summarized succintly without serious over-simplification; therefore, the reader is referred to pages 82-90 in this chapter.

5. Why do some Utah districts submit few or no Title IV-C proposals?

Districts which have a history of low involvement in Title IV-C funding provided only four responses on which there was significant agreement among districts. The following four reasons were most frequently given as reasons why districts choose not to submit proposals:

- District staff with grantsmanship ability are overcommitted and lack time to develop proposals for Title IV-C.
- Districts without relevant technical expertise (or unable to commit their relevant personnel to the task) indicated that they were unable to obtain necessary technical assistance from other sources.
- A majority of "low involvement" districts indicated that they sometimes lack staff to run projects even if they were funded and, therefore, did not submit proposals.
- Several respondents from "low involvement" districts indicated that Title IV-C, by definition, is not well suited to meet the needs of small, isolated, rural districts which are struggling to provide basic educational opportunities.

6. What role does funding of Title IV-C projects through regional service centers have on the Part C participation of districts within those regions? How successfully do such projects meet the needs of individual districts in those needs?

The present evaluation failed to answer the first part of this question. It is true that a higher proportion of low involvement districts lie within the service boundaries of the four educational service centers' regions, but one could not infer from that observation that funding Title IV-C projects through such centers discourages districts from applying directly for such funds. It is at least equally plausible that the very funding of Title IV-C projects to those centers is a recognition of the need to provide Title IV-C service and programs to districts which otherwise seem unlikely to obtain any benefits from the Title IV-C program. Unfortunately, data in the present study do not shed light on this issue.

Conversely, data were collected that answer at least in part the question of how successfully service center Title IV-C projects meet the needs of individual districts within their regions. In general, the reactions of districts served by Title IV-C projects through regional services centers seem positive, with districts indicating that they do not feel that the funds that went into the service centers' Title IV-C projects could have been used more productively if they had gone directly to local districts. Districts with a history of successful Title IV-C proposals were more inclined to rate their service centers' Title IV-C projects as addressing important needs in their district than were unsuccessful districts. Successful districts also rated their service centers higher on (1) providing them with an equitable share of the services and benefits from the Title IV-C project and (2) providing them sufficient service through the project that they wished to see it continued. Finally, given the diversity of ratings of service centers' Title IV-C projects by districts within their regions, it seems clear that USOE should not make judgments about the overall wisdom of providing Title IV-C service through projects funded to regional service centers, but should judge them carefully on a project-by-project basis as they would do with a proposal from any local district.

4. CONTINUATION OF SUCCESSFUL TITLE IV-C PROJECTS

One of the basic assumptions upon which Title IV funding is predicated is that LEAs will continue successful projects with their own funds after Federal funding is completed. This assumption also underlay the earlier Title III program, from which Title IV-C evolved. Concerns have been voiced about whether this assumption has been defensible for either Title III or Title IV-C. For example, in the Rand study, it was noted that:

> ... more often than not, districts discontinued use of Title III project techniques and materials once federal support ended. Local officials found that they had neither the funds nor the local expertise to sustain project efforts without outside assistance. Concurrently with the initiation of Title IV, IV-C program officials in many states began efforts to promote local continuation through such strategies as continuation assurances on local grant applications and technical assistance aimed at helping districts find ways to incorporate IV-C project activities into their regular curriculum (McDonnell & McLaughlin, 1980, pp. 31-32).

Federal and State officials have expressed continued concerns over whether the "seed money" intent of the Title IV-C legislation was being subverted by districts eager to use Part C funds to support innovative programs for as long -- and only as long -- as such external funds could be obtained. These concerns have led state Title IV-C officials to explore alternative ways of increasing LEA compliance with the purpose and regulations of Part C. As noted in the Rand study:

> Many SEAs instituted new grant application procedures aimed at promoting local attention to continuation and demonstrating the genuineness of local commitment to the project. For example, some state IV-C applications require that local officials sign an assurance that, if successful, the project will be continued with local funds. But as one local federal programs manager commented, "These assurances have never meant anything to us. Who is to say what 'successful' means in district terms? So we sign it, but it is irrelevant to project continuation." Some SEAs also require that districts demonstrate, in their original application, provisions for the subsequent incorporation of IV-C activities into the regular curriculum. But, as with continuation assurances, these initial project selection criteria appear to induce little more than local

> grantsmanship. Ironically, these data indicate that when SEA staff try to select projects for continuation on the basis of grant application information or brief local site visits, their selections may be clouded by local grantsmanship and thus influenced by just the wrong criteria. (p. 32-33)

At the outset of this evaluation study (in late 1979), discussions with the State Title IV Advisory Council demonstrated that they also were keenly interested in the extent to which Utah's successful Part C projects are being continued with LEA funds after Title IV-C funding is completed. This component of the evaluation was included to provide information relative to this important area.

Evaluative Questions for Component 2.0

The following general evaluative questions were addressed in this component of the evaluation:

1. What proportion of Utah's Title IV-C projects are continued following the termination of IV-C funding?

2. For those projects which are continued, in what form do they survive? To what extent are they extended into other district schools, modified in scope or focus, or changed in a way consistent with the legislative intents of Title IV-C?

3. Do Utah's Title IV-C projects deal with important needs of participating districts?

4. How successful have Title IV-C projects been in responding to the needs they were designed to address?

5. What are districts' initial intentions concerning project continuation?

6. What factors contribute to the continuation or discontinuation of Utah's Title IV-C projects?

7. What long-term impact are Title IV-C projects having in Utah?

General Evaluative Approach for Component 2.0

The general approach used to collect data for this phase of the evaluation included three activities: (1) identification of Title IV-C projects and project directors to constitute the population for data collection; (2) a questionnaire survey to solicit information relating to the evaluative questions outlined above; and (3) personal interviews to probe questionnaire responses and gather additional, supplemental information.

Procedures used in each of these activities are summarized in the following sections.

Identification of Population

WIRE staff obtained from the USOE's Title IV-C coordinator lists of all adoptable and developmental projects which were funded and completed between fiscal years 1974 and 1979.* A total of 98 such projects were identified (multiple year projects being counted only once in this total).

Efforts were also made to obtain through the USOE the name, current address and telephone number of the person who had directed each project or, if that person were no longer in the district, the name of a district staff member who would be most knowledge about the history and current status of the project. This proved infeasible in most cases, however, since relevant USOE Title IV files prior to 1980 had recently been placed in archives and were not readily accessible; only 17 project directors or reliable current contact remaining projects, an alternate strategy was adopted of sending questionnaires to district superintendents and asking them to either complete the form

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*Description of this process is provided in greater detail in the section on "Identification of Sample" for Component 7.0 in Chapter 3 of this report.
persons could be identified and located by this means. As a result, for the

or see that it was completed by whomever they considered the most knowledgeable and relevant person on their staff.

The population for the questionnaire survey was 98 projects across 40 local districts.

It was also hoped that ratings of the success or quality of each Title IV-C project in the population above could be found in USOE files of previous onsite evaluations, since "project success" was a key criterion in determining whether projects should have been continued. These ratings were not available, however, for the same reason as that provided above for names of project directors. Current USOE files contained ratings of project success only for 1979-80 projects. It was necessary, therefore, to rely on district personnel's ratings of how successful each project was in the analyses reported in this chapter.

Questionnaire Survey

A questionnaire and cover letter were developed to solicit information for each district Title IV-C project from either (a) the project director or (b) the superintendent or an individual to whom he directed the questionnaire for response. Questions were developed to answer the evaluative questions listed earlier and, where possible, to parallel information collected during the Rand study referenced earlier. The instrument was piloted, revised, approved by the State Educational Data Acquisition Approval Committee, and mailed to the entire population in the form shown in Appendix 4.1. It should be noted that the questionnaire actually consisted of one general page, plus several short (three-page) questionnaires, one per project. Thus, different districts received questionnaires of differing lengths, ranging from a total of four pages for districts with one project to 25 pages for one district which had eight projects.

Telephone follow-up contacts were made with districts not responding within two weeks of the initial mailing and thereafter as necessary. Ultimately, 35 of the 40 districts (88%) provided usable responses for all of their projects. Usable responses were received for 85 of the 98 projects (85%).* This response rate was judged high enough to negate the need for a non-response bias check.

The number of individual project questionnaires distributed to each district is shown in Table 4.1, along with the number of those questionnaires returned.

Responses from the questionnaire survey are summarized in a later section of this report.

Personal Interviews

The questionnaire responses were summarized to identify those Title IV-C projects which respondents had indicated were being continued in their districts. It was the original intent to conduct onsite visits to 30 such projects to interview district personnel, observe the continuing project in operation, and collect supplementary information about various facets of the project and the factors which led to its continuation. It was judged important to verify that projects actually are continuing with LEA funding, to determine whether the project has been significantly altered (and if so for what reasons), and to gather information about the impact that the particular project has had on the quality of education within the LEA. During the analysis of the questionnaire survey returns, however, it became apparent that it was equally important to interview persons in districts which had not

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*Additional responses that were unintelligible or too late for analysis were received from two districts, with an additional eight projects.

Table 4.1

Number of Project Questionnaires Mailed to Each District and Number of Usable Responses Returned.

District No.	No. of projects identified for 1974-79	No. of projects for which usable responses were recorded
01	6	0
02	1	1
03	1	1
04	1	1
05	2	0
06	2	0
07	5	5
08	3	3
09	1	1
10	2	2
11	1	1
12	6	6
13	3	3
14	4	4
15	1	1
16	2	2
17	2	2
18	1	1
19	1	1
20	1	1
21	1	0
22	1	1
23	2	2
24	1	1
25	1	1
26	2	2
27	2	2
28	2	2
29	1	1
30	2	2
31	7	7
32	2	2
33	2	0
34	1	1
35	7	7
36	4	4
37	8	8
38	2	2
39	2	2
40	3	3
TOTALS	98	85 (85%)

continued one or more of their projects to determine more accurately the reasons for discontinuation.

The original approach was, therefore, altered to include a sample of both continuing projects and discontinued projects, spread across as many districts as practicable. Further, it was decided that telephone interviews would be equally as informative for discontinued projects, with savings in travel time and travel costs more than offsetting the additional telephone charges.*

The sample of projects selected for interviews included 20 continuing and 10 discontinuing projects; the 30 projects were with 10 districts selected to be balanced insofar as possible in terms of district size and geographic location.

Difficulty in scheduling onsite visits with two districts within the time frame allowable and the refusal of the contact person in one district to be interviewed resulted in some attrition in the sample. The resulting number of personal and telephone interviews conducted is shown in Table 4.2 below.

Table 4.2

Personal and Telephone Interviews Conducted For Sample of Continued and Discontinued Title IV-C Projects

Project Status	Number of Projects in Original Sample	Number of Project Interviews Conducted		Total Interviews	Number of Districts in Original Sample
		Onsite	By Telephone		
Discontinued Projects	10	1	9	10	
Continuing Projects	20	8	5	13	
Totals	30	9	14	23	

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*Savings were used to obtain services of a consultant to assist with data analysis of Component 7.0 data (see Chapter 3), thus allowing a more extended analysis of those data than originally planned.

Descriptive information for the 10 districts is provided in Table 4.3.

The list of structured questions used in both the personal and telephone interviews appears in Appendix 4.2 to this report. Additional unstructured probes were used as appropriate to obtain clarification and additional imformation. Answers were recorded in three forms: (a) handwritten notes; (b) categorized responses; and (c) ratings assigned by the interviewer to reflect the sentiment expressed by the interviewee. Two interviewers were used; both conducted the first two interviews together to standardize use of the interview schedule. The remaining 21 interviews were conducted singly.

The results of the interviews are presented in a later section of this report.

Table 4.3

Descriptive Information for Interview Districts

Descriptor

1. District Size
    a. Category A -------- 2
    b. Category B -------- 5
    c. Category C -------- 1
    d. Category D -------- 2

2. Geographic Location
    a. Wasatch Front -------- 5
    b. Non-Wasatch Front ---- 5

3. Number of Projects in Interview Sample
    a. one -------- 3
    b. two -------- 3
    c. three ------ 1
    d. four ------- 1
    e. seven ------ 2

Results for Component 2.0

Questionnaire Survey

The responses from the questionnaire survey are summarized and discussed in this section, using questionnaire items to serve as organizers to allow the reader maximum information about the stimulus to which the respondent attended in answering each item.

Two basic analyses were conducted: (1) all responses were summarized across all 23 interviewees in the interview sample; (2) responses of the 10 interviewees queried about discontinued projects were contrasted whenever appropriate with responses of the 13 interviewees who were asked about continuing projects. Where appropriate, statistical significance tests were conducted on between-group comparisons; these tests are reported later in this section.

For each project, the district respondent was asked to describe the original need(s) which the Title IV-C project was designed to address. The primary intent of this initial item was to focus their attention on defining that need so that they would have it clear in their mind as a referent as they responded to subsequent items, as reported below. The needs listed were idiosyncratic to the district and situation and resisted any meaningful attempt to categorize them; therefore, they are not presented herein.

Responses to all subsequent items are summarized below.

In the Rand study, it was found that a characteristic which substantially affects the likelihood of continuation of Title IV-C projects is the centrality of the project to the district's educational program.

> Not surprisingly, projects that are viewed as central to a district's priorities are more likely to be continued after IV-C funding ends. Ancillary project efforts, activities that are seen as "nice but not necessary," have little chance to survive school board scrutiny as budgets are trimmed (page 34).

Given this finding and the data presented in Table 4.4 above, one might reasonably expect the continuation rate of Utah school districts' Title IV-C projects to be relatively high. Approximately two-thirds of the respondents indicated that their project was central to the district's educational

Table 4.4

2. To what extent was this project central to your district's educational program? (Circle the ONE numeral below which best reflects your response):

	Project was central to district's educational program				Project was nice, but not central to district's educational program		
	1	2	3	4	5	NR	Total
N	30	27	13	9	5	1	85
%	35.3	31.8	15.3	10.6	5.9	1.1	100.0

$\bar{X} = 2.2$ SD = 1.2

NR = no response.

program, versus only sixteen percent who rated the project as not central to the district's educational program.

When responses on this item were contrasted for continuing versus discontinued projects, interesting differences in ratings were found, as shown below in Table 4.5.

Table 4.5

Summary of Analysis of Variance for Continuing vs. Discontinued Projects: Rating of Extent to Which Project was Central to District's Educational Program

Group	N	$\bar{X}$	SD	F	Significant at:
Continuing projects	62	2.00	1.15	3.52	.065
Discontinued projects	14	2.64	1.22		

NOTE: 1 = "central"; 5 = "not central."

It would appear from the above analysis that continuing projects are significantly more central to their districts' educational programs, whereas projects that are less central to their district's programs tend to be more frequently discontinued. This finding is consistent with later findings reported in the section on personal interviews with district personnel.

Table 4.6

3. To what degree has this project been incorporated into the district curriculum, as opposed to being used by only some individuals or schools in your district? (Circle ONE):

	1 Project incorporated into district's core curriculum	2	3	4	5 Project operated as a special project in a minority of the district's schools	NR	Total
N	13	30	18	10	13	1	85
%	15.3	35.3	21.2	11.8	15.3	1.2	100.0

$\bar{X} = 2.7$ SD = 1.3

This question is obviously closely related to the issue of centrality. When all Utah's Title IV-C projects are considered as a whole, slightly over half appear to be incorporated into the district's core curriculum to some extent, whereas nearly thirty percent tend to operate as a special project in a minority of the district's schools.

Responses from continuing and discontinued projects were contrasted, and the results are presented in Table 4.7.

It is patently clear from this analysis that incorporating Title IV-C projects into the district's core curriculum (or, alternately, choosing a

Table 4.7

Summary of Analysis of Variance for Continuing vs. Discontinued Projects: Rating of Degree to Which Project Has Been Incorporated Into the District Curriculum

Group	N	$\overline{X}$	SD	F	Significant at:
Continuing projects	62	2.40	1.14	10.54	.0018
Discontinued projects	14	3.50	1.16		

NOTE: 1 = "project incorporated into district's core curriculum"; 5 = "project operated as a special project in a minority of the district's schools."

Title IV-C project in an area which is pivotal to the core curriculum) is highly related to subsequent decisions to continue the project after external funding is terminated. It also underscores the observation reported elsewhere in this chapter that projects which operate in a minority of the district's schools and are identified with particular personalities tend to be discontinued when external funds are withdrawn.

Table 4.8

4. To what degree had the district administration planned, at the time of submitting this project, to provide or find funds to continue it after USOE funds were withdrawn (assuming it proved successful)? (Circle ONE):

Definite plan existed for funding project's continuation if it proved successful				No thought was given to how to fund project continuation if it proved successful		

	1	2	3	4	5	NR	Total
N	25	25	23	5	6	1	85
%	29.4	29.4	27.1	5.9	7.1	1.2	100.0

$\overline{X} = 2.3$ SD = 1.2

Both the spirit and letter of Title IV-C regulations require that districts continue projects that prove successful. Indeed, the USOE has required for several years that districts which submit proposals provide written assurances that it is the intention of their district to continue the project if it is funded and ultimately proves successful. Yet, although nearly 60% of the respondents to the above item indicated that a plan existed for funding project continuation if it proved successful, 27% seemed to express uncertainty as to whether there was any such plan, and 15% indicated that little or no thought was given to how to fund project continuation in the event that it did prove successful. This would seem to indicate that a significant proportion of the districts submitting Title IV-C projects over the years have not made provision at the time of proposal submission for how to continue the project after Title IV-C funding is completed.

When continuing and discontinued projects are compared on this dimension, substantial differences between the two groups appear, as shown in Table 4.9.

Table 4.9

Summary of Analysis of Variance for Continuing vs. Discontinued Projects: Ratings of the Degree to Which a Plan Existed for Continued Funding of Successful Projects

Group	N	$\overline{X}$	SD	F	Significant at:
Continuing projects	62	2.15	1.05	3.61	.0613
Discontinued projects	14	2.79	1.48		

NOTE: 1 = "a definite plan existed"; 5 = "no thought given to providing funding for continuing successful projects."

There appears to be a clear relationship between a priori planning for continuation of successful projects and whether or not projects are in fact continued. Projects that are continued are, according to respondents in this survey, much more likely to have developed at the outset a definite plan for funding project continuation if they proved successful.

Table 4.10

5. To what extent did your district have sufficient time to develop this project before USOE funding was terminated? (Circle ONE):

	Had sufficient time to develop before USOE terminated funding				Had insufficient time to develop before USOE terminated funding		
	1	2	3	4	5	NR	Total
N	20	17	26	15	6	1	85
%	23.5	20.0	30.6	17.6	7.1	1.2	100.0

$\bar{X} = 2.6$ SD = 1.2

It would seem reasonable to assume that Title IV-C projects could be more readily continued if they had adequate time to develop properly before their external funding support was terminated. Viewing Utah's Title IV-C projects collectively, approximately 44% seemed not to feel that premature funding termination was a problem, nearly 31% seem uncertain as to whether they had sufficient time to develop the project before funds were withdrawn, and only 25% indicated that project funds were terminated before they had adequate time to develop the project.

Comparing continuing vs. discontinued projects, there were no significant differences on this variable, as shown in Table 4.11.

Table 4.11

Summary of Analysis of Variance for Continuing vs. Discontinued Projects: Ratings of the Extent to Which Districts Had Sufficient Time to Develop Title IV-C Projects Before USOE Funding Terminated

Group	N	$\bar{X}$	SD	*F*	Significant at:
Continuing projects	62	2.61	1.16	.47	.50
Discontinued projects	14	2.86	1.41		

NOTE: 1 = "had sufficient time"; 5 = "had insufficient time."

Table 4.12

6. How successful was the project in responding to the need it was designed to address? (Circle ONE):

	Was very successful				Was very unsuccessful		
	1	2	3	4	5	NR	Total
N	34	31	14	4	1	1	85
%	40.0	36.5	16.5	4.7	1.2	1.2	100.0

$\bar{X} = 1.7$ SD = .93

This must be considered one of the most important questions posed, since a response to it would determine the extent to which the expectation of continuation obtained for each project. Approximately three-fourths of all respondents judged their projects to be successful in responding to the needs they were originally designed to address. Only 6% of the respondents judged their projects to be unsuccessful, while another 16.5% seemed undecided as to whether or not their projects had succeeded in meeting the original needs.

When continuing and discontinued projects were compared on this dimension, no significant differences were found, as can be seen in Table 4.13 below.

Table 4.13

Summary of Analysis of Variance for Continuing vs. Discontinued Projects: Ratings of Project Success in Responding to the Need it was Designed to Address

Group	N	$\bar{X}$	SD	F	Significant at:
Continuing projects	62	1.82	.84	2.34	.13
Discontinued projects	14	2.21	.98		

NOTE: 1 = "was very successful"; 5 = "was very unsuccessful."

Table 4.14

7. This project (Check ONE response which best describes what happened to the project after Utah State Office of Education (USOE) funding was discontinued):

	N	%	
a.	5	5.9	terminated when USOE funds were discontinued
b.	9	10.6	continued for a time after USOE funds terminated, but has since been discontinued. (How long continued after USOE withdrew funds? $\bar{X}$ = 1.3 years)
c.	22	25.9	is still continuing in the district in its original form (i.e., the form it had before USOE funds were discontinued), but is only in the school(s) initially involved in the project.
d.	13	15.3	is still continuing in the district in its original form, and has expanded beyond the school(s) initially involved in the project. (Expanded to what % of relevant schools in the district? $\bar{X}$ = 83%)
e.	27	31.8	is still continuing in the district, but has been adapted or modified significantly from the original project.
f.	8	9.4	other (please explain): [7 responses listed on next page]
x.	1	1.2	No Response
	85	100.0	TOTAL

Written responses to item 7f on the previous table are listed below:

- "The project did not meet the overall need, but some teachers used it as supplementary teaching material."
- "The district caused an unintentional cancellation of the program -- they forgot to reapply for it!"
- "As soon as the USAIL materials were used up, the program faded."
- "The project has been expanded, adapted, and modified; however, it is still housed in the single facility it started in."
- "It is still continuing on a very limited basis -- has shrunk since funds were withdrawn."
- "The influence of the project is continuing in the district, although the project itself is dead."
- "Will be retained on a very limited basis, much smaller than when funded by Utah State Board of Education."

In the Rand study, it was reported that:

> State IV-C directors estimate that, on average, 63 percent of the local projects supported by IV-C funds are continued. Local project directors predict that 44 percent of the current IV-C projects will continue "as is"; 41 percent report that their projects will probably continue with "some modification" (p. 32).

In this survey pertaining to Utah's Title IV-C projects, approximately 73 percent of the districts reported that their projects had been continued in some form. This finding is somewhat less than the prediction local project directors made concerning continuation in the Rand report, but somewhat higher than the estimate given in that report by State Title IV-C directors.

Over 40 percent of Utah's Title IV-C projects are evidently continued in their original form, with the majority of those continued in the schools in which they were originally involved and a minority being expanded to other schools in the district.

Nearly 17 percent of the Title IV-C projects in Utah are terminated when USOE funds were discontinued, with approximately 6 percent terminated immediately and the remaining 11 percent continuing, on the average, for slightly over a year before they were terminated.

One of the important goals of this substudy was to identify factors contributing to the discontinuation of projects. Information on this variable is presented in Table 4.15. It is not startling to find that more respondents cited insufficiency of district funds as a reason for project discontinuation than any other alternative given. The next most frequently cited reason was that the project was not successful enough to warrant its continuation (although this response was given by only slightly less than half of the respondents). No other response was cited by a majority of the respondents. It does not appear, therefore, that the emergence of undesirable "side effects," shifts in district priorities or needs, absence of technical expertise to conduct the project, or political, personality, or personnel problems were major impediments to project continuation, although each of those factors was cited one or more times as either a major or minor reason for a project being discontinued.

This item did not yield much useful information, primarily because of an apparent malfunction. Many persons evidently thought they were being asked about project-specific modifications dealing with the particular content or substance, rather than about broader modifications. As a consequence, large number of idiosyncratic, unclassifiable responses were given, of which one example is provided below:

> We have adapted the student record keeping form to enable us to give better feedback to parents. We also have developed a form to explain the program to parents better as they register the kindergarten students. We have also coded the learning objectives in each curriculum area. Otherwise, the program is the same.

Among the classifiable responses, approximately half indicated that no modifications were made, with the remaining responses scattered in a way that did not provide any central trend.

Table 4.15

8. How much did each of the following factors contribute to the discontinuation of the project? (Please circle ONE response for each item.)

Not a Reason N (%)	Minor Reason N (%)	Major Reason N (%)	Factor	X̄	S.D.
1 (8)	3 (23)	9 (69)	District funds insufficient to support it	2.6	.65
7 (54)	2 (15)	4 (31)	Project was not sufficiently effective to warrant continuation	1.8	.92
12 (92)	0	1 (8)	Undesirable "side effects" were discovered . . .	1.2	.55
8 (62)	3 (23)	2 (15)	District priorities/needs shifted	1.5	.78
9 (69)	4 (31)	0	Technical expertise of district staff was inadequate without outside help	1.3	.48
10 (77)	3 (23)	0	Political, personality, or personnel factors made continuation impossible	1.2	.44
0	0	0	Other (please specify) ____________________		

Table 4.16

9. Please describe briefly the adaptions or modifications made in the original project (use back of sheet if necessary):

(Responses were categorized as follows):

Type of Adaptation or Modification	N	%
1. No modifications made	7	8.4
2. Project was cut in scope	2	2.4
3. Project was expanded in scope	4	4.8
4. Project effectiveness was increased	1	1.2
5. Unclassifiable response	18	21.7
6. No response to item	51	61.4
Totals	83	100.0

All respondents were asked what changes were brought about in their district as a result of their Title IV-C project. Nearly 80 percent of the respondents listed some type of direct change which they felt was traceable to the project. From the most common responses, which dealt with improvement in management effectiveness, introduction of new materials, and increases in specific training, it would appear that the changes tend to be in specific areas rather than in general areas such as "education environment enhanced". Interestingly, the most frequent response was a multiple listing of the three specific areas mentioned above, along with claims that student performance and educational environment were also enhanced by the project. Overall, it would appear that Utah's Title IV-C projects were leading to the type of direct change desired by the state and federal sponsoring agencies.

Table 4.17

10. What direct changes were brought about in your school district as a result of this project? (Consider such areas as staff training, introduction of new educational materials, or processes, management procedures, educational environment, district policies and planning, and so forth).

(Responses were categorized as follows):

Type of Change Listed:	N	%
1. Staff training increased in key areas	11	13.3
2. Introduction of new materials/processes	10	11.8
3. Management effectiveness improved	12	14.1
4. Educational environment enhanced	5	5.9
5. Student performance improved	6	7.1
6. Combination of 1-5 above	20	23.5
7. Unclassifiable response	4	4.7
8. No response to item	15	18.1
Totals	83	100.0

If anyone were to view Title IV-C projects as total solutions to district needs or problems, the data reflected in the above table would be at least mildly disappointing; only 8 percent of the respondents indicated that the original need or problem was completely resolved as a result of their Title IV-C project. A large majority indicated, however, that the original need or problem was partially resolved through the Title IV-C project.

When responses to the above item are contrasted for discontinued vs. continuing projects, however, some interesting patterns emerge, as shown in Table U. These data show dramatically that project discontinuation is highly

Table 4.18

11. All things considered, to what extent did this project solve the problem or satisfy the need which led your district to implement it (as outlined in item 1)? (Check the ONE response which best describes your answer):

N	%	
7	8.2	The original need/problem was completely resolved as a result of this project
61	71.8	The original need/problem was partially resolved as a result of this project, but additional projects or activities are necessary to completely resolve it
7	8.2	The project has done little to resolve the original need/problem
5	5.9	Other (please explain): ______
5	5.9	No response to item
85	100.0	Totals

related to district personnels' perception that the project did little to resolve the original need/problem which led them to implement it in the first place. Less than 2 percent of the projects which are continued were negative about the extent to which the project had assisted, at least partially, in resolving the need or problem to which it was addressed, whereas nearly half of the responses for discontinued projects rated their projects as a failure in this regard.

Question 12. If you feel your answers to any of the preceding 11 questions may not communicate clearly, or if you want to tell us something more about this project, please supplement or provide a brief explanation here. Use the back of this sheet if necessary.

Eleven respondents answered this question, with several of them using it as an opportunity to elaborate on their answers to the previous question. Eight of the eleven respondents indicated that, although the Title IV-C project only partially resolved the need for which it was intended, it was

Table 4.19

Cross-tabulation of Continuing and Discontinued Projects With Extent to Which Title IV-C Projects Resolved the District Need/Problem Which They Were Intended to Address

Extent to Which Need/Problem Was Resolved by the Title IV-C Project		Continuing Projects	Discontinued Projects
1. Need/problem was completely resolved	N	6	1
	%	10.0	7.6
2. Need/problem was partially resolved	N	53	6
	%	88.3	46.2
3. Did little to resolve need/problem	N	1	6
	%	1.7	46.2
Totals	N	60	13
	%	100.0	100.0

NOTE: Totals are less than total number of interviewees because some respondents did not provide classifiable answers to both items involved in this cross-tabulation.

enormously helpful and made the significant difference in the district being able to solve the problem. In a variety of ways, they indicated that they were able to supplement the Title IV-C project with district resources to reach the solution, whereas they would never have been able to solve the problem with district resources alone.

A sample of verbatim responses appear below:

- This has been one of the very best programs we have been involved in because the money all went for students and classroom use.

- Although the project completely resolved the problem we confronted, with present cuts in funding, there is a serious question about whether the program can now survive in the schools.

- This project did not begin with the district commitment that it needed and required such a long conversion period that it proved once again that you cannot impose change that is desired by only one individual regardless of how good the idea may be.

- Although our district has shown in its local expenditures strong commitment to this program, the drastic cut-backs of the Utah legislature will make it difficult to maintain adequate professional staff in the elementary programs to enable it to carry out the project another time.

- It will take extensive work to adopt USAIL in the district on a broader basis, and I doubt that the funds and staffing available will permit it.

Interviews

Information obtained during the 23 interviews is summarized below, using the structured interview questions as organizers. Information is reported separately for continuing and discontinued projects to provide contrasts on that dimension. Responses that could be coded or rated numerically are presented in tabular form. Narrative descriptions of the general reaction of respondents is provided for non-numerical items, with sample quotations provided to represent the general flavor of the responses.

1. What was the specific need or problem in your district which this project was intended to resolve?

Responses from interviewees to this question were highly specific and there was no discernable pattern of differences between respondents from projects that had been discontinued and those which were continued; therefore, no further data are reported in relation to these questions.

One of the most provocative findings in the Rand Study is relevant to the above data. It was found that:

> Both our field work and the survey suggest that state-level coordination of IV-B and IV-C is associated with a strong and substantive state role in local IV-C projects. . .SEAs reporting a high level of

Table 4.20

2. How important do you think this need was in relation to other needs and problems with which your district was faced at the time this project was initiated? (Circle ONE response which most closely describes the interviewees response.)

		Was the most important need we had 1	2	3	We had several other needs more important 4	5	Total
Continuing Projects	N	9	2	1	1	0	13
	%	69.2	15.4	7.7	7.7	0	100.0
Discontinued Projects	N	2	1	2	2	3	10
	%	20.0	10.0	20.0	20.0	30.0	100.0

> coordination of Title IV-C program components typically show a high level of programatic activity and involvement, as opposed to a more narrow "check-writing" function. The negative relationship between local continuation predictions and state-level Title IV coordination suggests that local staff are less likely to continue projects where SEA staff have a strong substantive influence. Though state IV-C staff may see a strong substantive role as a way to bring state-wide coherence to the IV-C program, local officials do not always agree with state authorities. To this point, our field work suggests that the negative relationship between relevance of SEA IV-C priorities and local continuation does not mean that locally irrelevant projects are more likely to be continued. Instead, it usually means that local staff have ignored state priorities, arguing the inappropriateness for their district, and have implemented IV-C projects that accord with locally specified priorities. . . . In particular, SEA strategies to promote continuation through initial selection procedures negatively affect project continuation (page 32).

The Rand study would seem to suggest that Title IV-C projects are most likely to be continued if they meet local priorities, even though the latter may not be in harmony with state priorities. This would certainly also seem true from the data collected in the present survey. As can be observed in the above table, projects tended to be continued if they were focused on very important needs of the district, whereas discontinued projects were more likely to be viewed as dealing with relatively less important district needs.

This was borne out in the additional comments provided by interviewees asked about discontinued projects. Four such interviewees indicated that they had written the grants to meet state priorities, as they perceived them, even though there was not much local interest in those particular types of programs. One interviewee made the following comment:

> We floated one idea to the state office, and they floated it back with a hint that there were some other ideas that would be better. Our superintendent thought we ought to get into the Title IV-C game, so we wrote a project that fit what we thought the state wanted. It was pretty clear from the outset that no one was interested in it except the project director, so it didn't last long once the state office stopped the funding (Interviewee #9).

Table 4.21

3. To what extent was this need identified within your district, as opposed to responding to a need or priority identified by state or federal agencies? (Circle ONE)

		The need was locally determined, arising out of local problems 1	2	3	Need was created by state and/or federal priorities 4	5	Total
Continuing	N	8	4	0	1	0	13
Projects	%	61.5	30.8	0	7.7	0	100.0
Discontinued	N	1	2	1	4	2	10
Projects	%	10.0	20.0	10.0	40.0	20.0	100.0

Responses to this interview question underscore the discussion above. Indeed, during the interviews it became apparent that many interviewees felt that "locally determined needs" and "needs that are important to the district" are synonymous, which perhaps accounts for the very close parallel in responses to these two items.

Table 4.22

4. Is the project still continuing in any form in any schools in the district? 13 Yes 10 No. If "yes," what is its current status? (Check ONE)

5 Project operating only in the original school(s)

4 Project has expanded to other schools, but not all relevant schools in the district

3 Project has expanded to all relevant schools in the district

The numerical information provided is perhaps less instructive than the interchanges which occurred between the interviewer and interviewees in discussing this question. Initially, most interviewees seemed inclined to talk in expansive terms about the extent to which the project had been expanded to other schools in the district. When pressed for examples, however, it often became apparent that the expansion that was claimed represented only a fraction of the program (e.g., all district teachers were involved in a one-day workshop in their relevant content area in which project materials were used as an example, whereas the project continued to be fully implemented with extensive support materials and training only in the school it was originated). Probing resulted in increased conservatism in the expansion claims for several projects; the numbers recorded in Table 4.22 above are those which reflect, in the interviewer's judgment, the actual status of the 13 projects which claimed to have continued. It should be noted that one project was dropped when no one encountered by the interviewer in the district could document its existence or continuation.

One of the primary reasons for conducting these interviews was to determine whether or not claims for project continuation were valid. Based on the findings, it would appear that they do, for the most part, reflect project status in the districts. If the projects for which interviews were conducted may be viewed as representative, then one could assume that the 73 percent continuation rate cited earlier in this chapter might be reduced by approximately 8 percent to reach a conservative estimate of project continuation.

5. In what proportion of your district's schools was this project implemented during the period in which it was funded by Title IV funds for the Utah State Office of Education (USOE)? (Please provide the approximate percentage; e.g., "100%" if it is an elementary school project and all elementary schools implemented the project, 20% if there are five elementary schools in your district and this project was implemented in only one of them; etc.:
____________% of the relevant schools implemented this project.

It was found in the Rand study that the number of participating schools substantially affected the likelihood of continuation of Title IV-C projects. More specifically:

> Our field work and survey responses, as well as the Change Agent study results, suggest that projects involving all district schools are likely to include "add-ons" to classroom operations: aides, special materials, and field trips. Yet, open-ended responses to our survey and Change Agent findings show that these are precisely the project components that are the most likely to be discontinued once special funding ends (page 34).

In the present study, no support was found for the thesis underlying the above quote. For continuing projects, interviewees reported that they had been implemented during the funding period in an average of approximately 30 percent of the relevant schools in the district. Respondents for discontinued projects reported that they had been implemented during the funding period in approximately 32 percent of the relevant district schools.

There was a marked difference on this item between responses pertaining continuing projects and those for discontinued projects. During discussion with interviewees relating to this question, it became clear that there is a strong correlation between project continuation and central district

Table 4.23

6a. To what extent did this project have support from the district administration (as opposed to building principals) at the time it was initiated? (Circle ONE):

District administration developed or encouraged development of this project			District administration permitted but did not encourage intiation of this project			
	1	2	3	4	5	Total
Continuing N	5	5	1	2	0	13
Project %	38.5	38.5	7.7	15.3	0	100.0
Discontinued N	1	1	0	4	4	10
Project %	10.0	10.0	0	40.0	40.0	100.0

administrative support for the initial proposal and subsequent continuation of the project. The genesis of continuing projects was likely to be typified as involving one or more key administrators in the central office in generating the initial idea or authorizing the actual proposal. Conversely, discontinued projects were more likely to have had their beginnings in the enthusiasm of a single individual (either a building principal or an innovative teacher or curriculum supervisor) who convinced others that there was merit in the concept he or she wished to propose. It is apparent from the responses to the interview questions that projects which begin with central administrative support have far greater longevity, on the average, than projects which become identified with an individual who is not a part of the central administrative team.

6b. Is there evidence that district central administrators planned, at the time of submitting the proposal, to provide or find funds to continue it after USOE funds were withdrawn? _____ Yes _____ No. If "yes," what is it?

Responses to this item were not very helpful, since they neither discriminated between continuing and discontinuing projects nor provided any other useful information. The problem lay in the inability of most respondents to provide any firm evidence that district central administrators had planned, at the time of submitting the proposal, to provide or find funds to continue it after USOE funds were withdrawn. Many respondents could only speculate, since they were not involved in the initial decision. Some pointed to written assurances provided to USOE along with proposal submission as evidence, but confessed under further questioning that such assurances were often pro forma. Some of the respondents were involved in the initial decision and asserted that they had indeed committed to continue the project, but were unable to point to evidence of such commitment.

It is puzzling that there would not be greater distinction in the responses of the individuals associated with discontinued versus continuing projects, given the strong trends along similar dimensions on previous questions.

Table 4.24

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7. We need to know how much contact you had with USOE Title IV personnel in relation to this project. Specifically, approximately how many visits did USOE Title IV staff make to your district during each of the following periods? (Check ANY)

Number of Visits

_____ Prior to project application (before you began writing a proposal)

_____ During proposal development

_____ After project was funded, but not as part of an evaluation of the project

_____ During an evaluation of the project

The above question was included in the present survey because of interest sparked by the following discussion in the Rand report cited earlier:

> . . .state-level assistance during the project planning state aimed at maintaining the project once IV-funding stops, promotes the likelihood of local continuation. In contrast to paper assurances and brief on-site visits, this mode of state assistance permits SEA IV-C staff to discuss anticipated continuation problems and help circumvent them in the planning state. The positive effect of state IV-C assistance in local project planning is reflected in the influence of state technical assistance offered during proposal development. The negative influence of assistance during implementation, as well as the number of SEA IV-C staff visits, appear to reflect SEA involvement that is too late and often in response to a project in trouble (page 33-34).

It was anticipated that responses from interviewees in the present study might show some differential patterns of involvement of USOE Title IV personnel with discontinued and continuing projects. This was not the case, however, largely due to the fact that most respondents were unable to answer the question with any degree of certainty or specificity. Respondents in both groups seemed generally positive toward their interactions with the USOE Title IV coordinator, whom they viewed as congenial and facilitative of their questions concerning project operation, budgeting, reports submission, etc. Most seemed aware of his role in arranging for on-site evaluations of the projects and coordinating other activities to be certain that Title IV purposes and guidelines were followed in their conduct of the projects. Several indicated they had benefited from his visits, but they seemed not to view them as "monitoring" as such, but rather as efforts to be facilitative. There was no evidence in the description of visits or the timing of visits of significant involvement of USOE personnel during proposal development stages.

The numerical data reflected in the previous item must be regarded as somewhat impressionistic, since they were translated in many cases from more general comments. It does seem safe to conclude, however, that respondents in

Table 4.25

8. During the visits you mentioned, which of the following activities or topics were conducted or discussed? (Check ANY that apply)

Continuing Projects	Discontinued Projects	
0	0	USOE staff provided direct technical assistance
4	2	USOE staff encouraged or arranged for our district to obtain technical assistance from other sources
14	9	USOE staff answered questions about Title IV funding, regulations, guidelines, etc.
5	4	USOE staff monitored or evaluated project timelines, activities, or products
3	2	USOE staff encouraged continuation of the project after USOE funding would terminate
0	0	USOE staff helped identify supplemental funding possibilities for project continuation

both groups viewed the primary role of USOE Title IV-C staff to be that of answering their questions about Title IV funding, regulations, guidelines, and the like.

When interviewee's responses to each of the above five items were categorized as shown, it can be seen that there are no significant difference in the patterns of response between continuing and discontinuing project respondents in terms of their perception of the impact of the project on district policies and planning, management procedures, and overall educational climate. Respondents tended to be somewhat more positive in their perception of the impact projects have had on staff and administrative capabilities and the district's instructional programs, processes, or materials. In both of these latter areas, respondents from districts where projects were continuing

Table 4.26

Perceived Impact of Title IV-C Projects on Several Factors in Utah's School Districts

9. To what extent do you believe this project has had a positive impact on each of the following factors in your district? (Circle ONE for each item):

		Has had a very positive impact				Has had no positive impact on our district	
		1	2	3	4	5	Total
a. District policies/planning							
Continuing	N	3	2	5	0	3	13
Projects	%	23.1	15.3	38.5	0	23.1	100.0
Discontinued	N	2	1	3	2	2	10
Projects	%	20.0	10.0	30.0	20.0	20.0	100.0

		1	2	3	4	5	Total
b. Management procedures							
Continuing	N	1	4	3	3	2	13
Projects	%	7.7	30.8	23.1	23.1	15.3	100.0
Discontinued	N	2	2	2	3	1	10
Projects	%	20.0	20.0	20.0	30.0	10.0	100.0

(Continued on next page)

Table 4.26 continued

c. Staff/administrative capabilities		1	2	3	4	5	Total
Continuing	N	5	3	3	2	0	13
Projects	%	38.5	23.1	23.1	15.3	0	100.0
Discontinued	N	2	0	3	3	2	10
Projects	%	20.0	0	30.0	30.0	20.0	100.0

d. District educational climate		Very Positive 1	2	3	4	Not Positive 5	Total
Continuing	N	1	3	6	3	0	13
Projects	%	7.7	23.1	46.1	23.1	0	100.0
Discontinued	N	1	3	3	2	1	10
Projects	%	10.0	30.0	30.0	20.0	10.0	100.0

e. Instructional programs, processes or materials		1	2	3	4	5	Total
Continuing	N	4	5	2	2	0	13
Projects	%	30.8	38.5	15.3	15.3	0	100.0
Discontinued	N	2	3	3	2	0	10
Projects	%	20.0	30.0	30.0	20.0	0	100.0

were somewhat more positive about the impact the project has had than were their counterparts in districts where the project had been discontinued.

10. What indirect "spin-offs" have resulted from this project? Describe briefly any other projects or indirect benefits which have spun off from this project.

There were no discernible differences in patterns of response of interviewees from districts where projects were continuing and interviewees in districts where projects had been discontinued. Frequently mentioned "spin-offs" included the following:

- Increased staff capability for non-project personnel associated with project personnel.
- Parent interest and/or support for school programs.
- Increases in the media available to teachers in the school.
- The opportunity of having people come in to visit the project, thereby providing new insights and ideas into the district.

Table 4.27

11. To what extent do you see outside (state or federal) funds as useful to you in solving problems in your districts? (Circle ONE)

		Outside funds are very helpful and important to us			Outside funds have so many strings attached that they are hardly worth the bother		
		1	2	3	4	5	Total
Continuing	N	4	3	2	2	2	13
Projects	%	30.9	23.2	15.3	15.3	15.3	100.0
Discontinued	N	3	1	0	1	5	10
Projects	%	30.0	10.0	0	10.0	50.0	100.0

The data reflected above reveals some interesting patterns. While there is great spread in the extent to which respondents in both groups view outside funds as useful in solving their districts' problems, respondents from districts with continuing projects are somewhat more positive than their counterparts where projects have been discontinued. There is a fascinating bi-polar distribution for respondents in the latter category. This pattern can be represented by the two following responses:

- In a district with the limited resources that we have, both financial and staff resources, we would be totally unable to inject new ideas into the schools if we did not have assistance from the state such as we receive through Part C (Interviewee 14).
- We would like to use the resources available through Title IV and other federal programs, but there is always so much hassle involved with federal and state funding that it is just easier to do without. Perhaps if we had a bigger staff so we could devote someone to worry about meeting all the rules and regulations, it would be different. But as it is, we simply have to load that job on top of someone who already has a full-time job (Interviewee 3).

Interestingly, the differences in interviewees at the two ends of the spectrum appear to be differences in philosophy rather than any significant differences in the nature of the district or the needs which Title IV-C projects might address therein.

12. In summary, what would you say is the major reason your district decided to continue/discontinue this Part C project?

Responses to this question are summarized below by group.

Various reasons were given as to why discontinued projects had not been maintained, but the most frequent response had to do with finances; seven of the ten respondents in this category indicated that their district funds were inadequate for them to continue the project when Title IV-C funds were withdrawn. When asked whether they had been able to foresee this event at the time they proposed the project, the majority indicated that it was unforeseen and due largely to the worsening of the financial situation for educational programs in Utah.

Other reasons given by three or more respondents included the following: (1) the project did not prove effective and was therefore discontinued; (2) it was not intended to be a long-range project and had accomplished its goals within the period of external funding; (3) the project was really not relevant to local needs but was started because state money was available; (4) it became clear that the project was really not a high priority to the district central administration; (5) too much fuss and paperwork involved for the small amount of funds available; and (6) individuals who had provided leadership to the project either changed roles or left the district and there was no one left with sufficient interest/expertise to continue. This latter observation again underscores the importance of having Title IV-C projects receive broad-based support and not be tied to a single individual.

Respondents from districts where projects had been continued listed several reasons why they had maintained the Title IV projects. The most frequent response, presented in a variety of forms, indicated that the project was effective and had significantly improved the district's educational program and was, therefore, worthy of continuation. Specific improvements that were listed by three or more respondents included: (1) improvement in staff capability; (2) improvement of administrative/management systems and capability; (3) improvement in student performance; (4) improvement of the overall educational climate in the district; (5) infusion of new ideas and techniques into the educational program; (6) development/procurement of new materials, media, etc.; and (7) improvement of public relations with parents and other community groups.

13. What do you see as the major benefits the Title IV-C program offers to your district?

For respondents from districts with continuing projects, their answers to this question were largely redundant with their answers as to why they had continued their project (Item 12 above). The additional three benefits which were mentioned frequently were (1) the Title IV-C program provides an incentive to try new innovations that may otherwise not be attempted, given the press of providing basic educational opportunities; (2) the infusion of new ideas and techniques from outside prevent or reduce parochialism (this was particularly stressed by more rural, isolated districts); and (3) the Title IV-C program provides the resources which enables schools to try out ideas before they commit their own resources to their continuation.

Respondents from districts where projects had been discontinued gave similar responses for those described above, but they were in general less positive about the benefit their district had received from the Title IV-C program.

14. What do you see as the major deficits associated with the Title IV-C program?

The most frequent deficit mentioned by respondents in both groups had to do with the fact that Title IV-C funding did not continue over a longer period. Although some of the comments in this category seemed whimsical, there was an element of seriousness in the frequent suggestion that external funds should be phased out on a more clearly scheduled declining amount to stretch over a longer period and require districts to commit their funds by increments. Several respondents indicated that this would markedly improve probabilities of Title IV-C projects being continued. Other deficits mentioned by respondents in both groups included burdensome paperwork (although when pressed, few respondents could describe any which this evaluator would construe in any way burdensome--rather, a pervasive attitude seemed to exist that any requirement to submit a proposal or report or to account for expenditure of project funds was viewed as burdensome, however mild-mannered and reasonable the enforcement of those regulations might be). Four respondents suggested that lack of insight on the part of district personnel as to how to make better use of Title IV-C rendered it less effective than its potential. Three respondents were critical of the Title IV-C operation because it failed to require of districts a quality effort in their reporting and other commitments they had made as a condition of funding.

15. Do you have any other comments you would like to make regarding the operation of Title IV-C at the local, state or federal levels?

When this final interview question was posed, most respondents indicated that they felt that they had already made the comments that they wished to make in response to previous questions; those who did respond tended to repeat their responses provided above. One respondent noted that the operation of Title IV-C was largely of only historical interest, since it would doubtlessly change dramatically with the introduction of the new block grant program. He urged, however, that Title IV-C or some similar support for development and/or adoption of innovative programs be continued cooperatively by districts and the USOE under the new block grant program. He felt that districts would be unlikely to continue this program on their own and stated it was essential that they be encouraged and supported in committing appropriate portions of their energies and resources to maintaining the basic thrust that has been inherent in the Title IV-C program. Several other respondents echoed this sentiment by making similar comments during the interviews.

Conclusions and Recommendations

The results provided in the preceding section answer questions relating to what factors cause local districts to decide to continue or discontinue

Title IV-C projects after outside funds are withdrawn. It is hoped that the information provided will be useful to USOE, the Title IV-C State Advisory Council and --particularly --school districts interested in those factors which would enable LEAs to continue successful projects with their own funds after Federal funding is completed.

To highlight the data summarized in this chapter, the seven evaluative questions for Component 2.0 are used here as organizers, along with answers which are indicated by the evaluation data.

1. What proportion of Utah's Title IV-C projects are continued following the discontinuation of IV-C funding?

According to the data from the questionnaire survey, approximately 73 percent of the Title IV-C projects in Utah have been continued in some form, with approximately 40 percent continued in the original form. Nearly 17 percent of the Title IV-C projects in Utah are terminated when USOE funds were discontinued or shortly thereafter.

During the personal interviews, an attempt was made to validate the extent to which projects which claim to be continued were actually operating in those districts. In only one case did it appear that the project that was claimed to be continuing was no longer in operation in the schools. If one assumes that a similar proportion of the questionnaire survey claims of continuation might be found invalid, one could reduce the 73 percent cited above by approximately 8 percent to yield a conservative estimate of 65 percent continuation for Utah's Title IV-C projects.

2. For those projects which are continued, in what form do they survive? To what extent are they extended into other district schools, modified in scope or focus, or changed in a way consistent with the legislative intents of Title IV-C?

According to results from the questionnaire survey, approximately 32 percent of the Title IV-C projects in Utah have been continued in their districts in some modified or adopted form significantly altered from the original version of the project. Another 26 percent of the projects have been continued in their original form in the same school(s) in which they operated during their period of funding from the USOE. Approximately 15 percent of the projects have been expanded, according to questionnaire survey reports, to other relevant schools within the district.* It should be noted, however, that during the interviews it became apparent that what is described as expansion often did not represent expansion of the total program or project into other schools. Quite frequently only a few of the materials or concepts embodied in the original project were used in the other schools to which the project had claimed to be expanded.

3. Do Utah's Title IV-C projects deal with important needs of participating districts?

Yes, Utah's Title IV-C projects do deal, for the most part, with important needs of participating districts, according to individuals interviewed during this study. Although this question was not posed as directly in the questionnaire survey, respondents were asked to rate the extent to which the Title IV-C project was central to the district's educational program. It does not seem unwarranted to assume that "centrality to a district's educational program" and "importance" are near synonyms and, indeed, this was shown to be true during discussions with interviewees. It is relevant, therefore, to note that approximately two-thirds of the respondents to the questionnaire survey judged their Title IV-C projects to be central to their district's educational program, whereas only 16 percent indicated their projects did not occupy such a postion of centrality.

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*On the average districts report that projects in this category have expanded to approximate 30 percent of the relevant schools in the district.

4. How successful have Title IV-C projects been in responding to the needs they were designed to address?

For reasons described earlier in this chapter, it was necessary to rely on district personnel ratings of how successful each Title IV-C project has been. In the questionnaire survey, over three-fourths of the respondents judged their projects to be successful in responding to the needs they were originally designed to address, while only 6 percent judged their projects to be unsuccessful. The remaining respondents were undecided as to whether their project had succeeded in meeting the original needs.

Another indicator of success is the extent to which the Title IV-C project has been incorporated into the district-wide curriculum, as opposed to being used only in some schools or classrooms. It was found in the questionnaire survey that slightly over half of Utah's Title IV-C projects have subsequently been incorporated into their district's core curriculum to some extent, whereas less than 30 percent of the projects continue to operate in a minority of the district's schools or classrooms.

Judging from the above findings, Utah's Title IV-C program, as a whole, has been very successful indeed.

5. What are districts' initial intentions concerning project continuation?

Slightly less than 60 percent of the respondents to the questionnaire survey indicated that a plan existed for funding the continuation of successful projects; another 27 percent seemed to express uncertainty as to whether there was any such plan at the outset; and 13 percent indicated that little or no thought was given initially to how to fund continuation of successful projects. These findings suggest that a significant proportion of the districts submitting Title IV-C projects over the years have not made provision--at the time of proposal submission--for how to continue the project after Title IV-C funding is completed. This finding is particularly important because of the strong and significant relationship found to exist between (a) a priori planning for continuation of successful projects and (b) whether or not projects are in fact continued.

6. What factors contribute to the continuation or discontinuation of Utah's Title IV-C projects?

The most frequent reason for project discontinuation given by respondents in the questionnaire survey was that district funds were insufficient to continue the project after USOE funding was terminated (92 percent of the respondents listed funding as either a major or minor reason for project discontinuation). This was also given as a major reason by 70 percent of the interviewees. The next most frequent response was that the project was not effective enough to warrant continuation; this sentiment was expressed by 46 percent of the questionnaire respondents and 50 percent of the interviewees.

During the interviews, two factors found to be highly correlated with project discontinuation were: (a) failure to focus the Title IV-C project on a locally determined need (as opposed to a state priority); and (b) lack of central district administration involvement or encouragement in the development of the project.

Additional reasons for discontinuation given by 30 percent or more of the interviewees included: (1) the project had accomplished its goals within the period of external funding and was therefore discontinued; (2) Title IV-C required too much paperwork for the small amount of funding available; and (3) individuals who had provided leadership to the project either changed roles or left the district, leaving no one with sufficient interest/expertise to continue.

7. What long-term impact are Title IV-C projects having in Utah?

In the final analysis, the long-term impact of Title IV-C on Utah's schools could be best determined by a definitive longintudinal study of the quality of schooling in Utah districts which have and have not participated extensively in the Title IV-C program. In the absence of such a comprehensive longitudinal study, the present survey, based on self report data, would strongly suggest that the impact of the Title IV-C program on Utah's schools has been very significant. Approximately 80 percent of the respondents in the questionnaire were able to cite some kind of direct change they felt was traceable to their Title IV-C project. These changes included: (1) improvement in staff capability; (2) improvement of administrative/management systems and capabilities; (3) improvement in student performance; (4) improvement of the overall educational climate in the district; (5) development/procurement of new materials, media, etc.; and (6) infusion of new ideas and techniques into the educational program.

Another indicator of long-term impact is the extent to which the Title IV-C projects have served to resolve the original need or problem which they were intended to address. In this regard, 72 percent of the respondents to the questionnaire survey indicated that the original need/problem confronted by the district had been partially resolved by the Title IV-C project, while another 8 percent indicated that the Title IV-C project had completed resolved the need or problem which it was intended to address. Considering how resistent to resolution educational problems are, this report of the contribution of the Title IV-C projects to their resolution must be viewed as impressive.

During the interviews, comments were made which reinforce the questionnaire findings described above. In addition, interviewees listed three major benefits which had accrued from their district's involvement with the Title IV-C program, as follows: (1) the Title IV-C program provides an incentive to try new innovations that may otherwise not be attempted, given the press of providing basic educational opportunities; (2) the infusion of new ideas and techniques from outside prevents or reduces parochialism; (3) the Title IV-C program provides resources which enable schools to try ideas before they commit district resources to such endeavors.

On balance, it would be difficult not to judge the overall impact of Title IV-C projects on Utah's school districts as saluatory.

5. PROPOSAL DEVELOPMENT AND REVIEW

In an effort to assure that Title IV - C proposals submitted during 1981 would be of high quality and that decisions concerning which proposals should be funded would be based on accurate, fair, and objective reviews, the USOE asked the Wasatch Institute for Research and Evaluation (WIRE) to conduct the following activities: (1) preparation of the Request for Proposals to which applicants for Title IV - C funding for FY 1982 responded; (2) development of "model" proposals to provide guidance for LEAs in proposal preparation; and (3) operation of the proposal review process conducted in 1981. Each of these activities are described briefly in the following section, and the related products are contained in appendices to this report.

Request for Proposals

The request for proposals developed cooperatively by WIRE staff and the USOE appears in Appendix 5.1, along with a copy of the covering USOE memorandum under which it was sent.

Model Proposals

"Model" proposals for hypothetical adoptable and continuing developmental projects were developed and sent to all LEAs during 1980. These proposals were expanded and refined during 1981 and were sent to all LEAs as part of the packet which accompanied the invitations to submit Title IV - C proposals. In addition to serving as examples, these proposals also included additional explanation and written instruction about the required format and content of proposals submitted for Title IV - C funding.

The model proposal for a continuing developmental project appears in Appendix 5.2 to this report (along with a copy of the covering memorandum) as an example of the content and instructional approach used. Copies of the model proposal for adoptable projects are available from USOE upon request.

Proposal Review Process

To assure an objective, unbiased review process in which proposals would be judged strictly on their merits, the following activities were conducted:

1. Potential reviewers were selected by USOE, using nominations from their own staff, WIRE staff, and LEA personnel. Individuals nominated were required to qualify in one or more of the following areas: (1) experience in the successful conduct of Title IV - C projects; (2) expertise in technical areas and operations required in all proposals; or (3) membership on the Title IV State Advisory Council.

2. Sixteen persons and alternates were selected from the list of potential reviewers and formed into four teams, balanced insofar as possible to assure that each team included (a) persons in each of the areas outlined above, and (b) an appropriate mixture of LEA and university personnel. Team leaders with experience in Title IV and relevant techinical expertise were appointed for each team. The resulting teams which comprise the proposal review panel are listed below:

Team 1
Glenn Latham - USU - Team Leader
Lynn Haslam - SAC Member - Beaver District
Jerry Peterson - Morgan District
Bruce Owens - Garfield District

Team 2
Russell Osguthorpe - BYU - Team Leader
Maria Anita Detrio - SAC Member - Ogden District
Sharon Beck - Alpine District
JoAnn Seghini - Jordan District

Team 3
Adrian Van Mondfrans - BYU - Team Leader
Marian Karpisek - SAC member - Salt Lake District
Morgan Hawkes - Boxelder District
Collen Colton - Uintah District

Team 4	Blaine Worthen - USU - Team Leader Betty Cowley - SAC Member - Seiver District John Bennion - Provo District Gary Carlston - Logan District

3. All proposals submitted to USOE were given identification numbers and references to specific LEAs were removed to mask identity insofar as possible and thus avoid possible bias in the review process. In preparation for the review, proposals were duplicated in four copies and bound for use by reviewers.

A total of 43 Title IV - C proposals were submitted in 1981; 11 were continuing developmental proposals and 32 were adoptable proposals. The proposals were distributed across district categories, based on district size, as shown below in Table 5.1.

TABLE 5.1

1981 TITLE IV - C PROPOSALS: BY SIZE OF DISTRICT AND TYPE OF PROJECT PROPOSED

District Category	Number of Proposals Submitted		
	Continuing Developmental	Adoptable	Total
A (large)	5	15	20
B	3	7	10
C	2	3	5
D (small)	1	7	8
Totals	11	32	43

4. Training materials and rating sheets used in the 1980 proposal review were revised and the packet expanded to contain the following:

- A detailed step-by-step summary of the review and rating process to be followed by each team member
- A summary sheet of important things to keep in mind when reviewing Title IV - C proposals
- General instructions to help standardize reviewers' ratings
- A revised rating sheet for adoptable projects for use by individual team members
- A revised rating sheet for continuing developmental projects for use by individual team members
- A summary sheet for composite team ratings and recommendations for each adoptable project
- A summary sheet for composite team ratings and recommendations for each continuing devlopmental project.

All the items described in the list above appear in Appendix 5.3 to this report.

5. The materials outlined above provided the core materials for training of reviewers. All reviewers received and read prior to the review copies of the RFP and model proposals sent to all districts. In addition, they received explicit and intensive training on the purposes of Title IV, the criteria and procedures to be used in judging the proposals, and the rating sheets and instructions designed to standardize the ratings and eliminate scaling problems. Federal regulations and state compliance requirements were also reviewed by all team members. Lists and descriptions of Federal and State validated projects were provided to teams scheduled to review adoptable projects. Finally, examples of ratings from the 1980 Title IV - C review were used to identify effective and ineffective techniques for using and summarizing the ratings sheets. Training was conducted in three phases: (a) reading RFP materials and model proposals by all team members prior to the proposal review;

(b) training of team leaders in the rating and summarizing procedures on the evening before the proposal review; and (c) training of all team members during the first morning of the two-day proposal review.

6. All proposals in any one category (e.g., adoptables in districts from category C) were rated by the same team so that districts would only have to compete against other districts of approximately the same size.

7. Proposals were assigned to review teams so that no LEA staff member would be asked to judge a submission from his or her own district or a district which was competing with his or her district for funds.

8. Each proposal was read and rated independently by each member of the four-person team rating proposals in that category. Each reviewer filled out the rating sheet (shown hereafter) with both a numerical rating and written comments about the proposal's strengths and weaknesses on each criterion. Proposals that clearly failed to meet minimal Federal guidelines for a Title IV - C proposal were screened out at this stage without receiving completed ratings.

9. After all proposals had been read by a team, the team members discussed each proposal at length, comparing their ratings and individual lists of strengths and weaknesses. An attempt was made to reach a consensus on ratings for each category. In the few instances when team members could not reach complete agreement on a rating, the individual reviewer ratings were averaged to produce the team's rating on that criterion.

10. To assess the extent to which all teams were applying the criteria and awarding points in a comparable manner, each of three proposals were read and rated independently by two different teams and the summary ratings compared. In no instance did the results vary by more than 4 points (on a

scale of 100 possible), demonstrating that a high degree of consistency existed in teams' ratings.

11. After team ratings of each proposal were completed, the team chairperson assigned a team member for each proposal to summarize the team's comments and ratings on one rating form. These summaries were shared with other team members to assure that it accurately reflected all team members' sentiments. Team suggestions concerning required technical assistance or proposal modifications were clearly spelled out in this document.

12. Team chairpersons filled out a summary rating form which contained; (a) the team's rating on each criterion and for the project as a whole: (b) the team's recommendation concerning whether to approve, conditionally approve, or disapprove the proposed project; and (c) comments which summarized the team's rationale for their rating and recommendations. This summary depended heavily on the multi-page summary described in No. 11 above.

13. When each team had completed their ratings, all summary rating forms and individual reviewer ratings and more detailed lists of strengths and weaknesses were given to USOE officials to aid in their deliberations. The entire review process (including training) took approximately 18 hours.

Results of 1981 Proposal Review Process

For readers interested in perusing actual rating sheets produced during the Title IV - C proposal review, several sample copies of completed team summary rating forms appear in Appendix 5.4 to this report. These samples show the general level at which team leaders summarized and reported team ratings and recommendations to the USOE. District and project names and other identifying information appearing in these samples (including name of chairperson) have been deleted to preserve anonmity. Otherwise, the samples are preserved in their entirety.

Proposal Ratings and Recommended Action

The total score awarded each proposal and the team's recommended action for that proposal are shown below in Table 5.2, with proposal number used to preserve anomnity of district and project.

Observations Concerning the 1981 Proposal Review Process

Several observations about the proposal review process seem in order. These observations stem from analyses of ratings, comments of individual reviewers, observations of team chairmen, observations of USOE officials who observed part of the review process and used the resultant ratings and recommendations, and an analysis of proposals submitted.

1. Proposals submitted in 1981 were generally of significantly higher quality than in the previous years, according to chairpersons and reviewers on this year's teams who had served in previous years. This observation was borne out by an analysis of 1979, 1980, and 1981 proposals. Apparently the RFP and model proposals requested by USOE were effective in improving overall proposal quality significantly in 1980, with additional improvement this year.

2. Most LEAs followed the format requested in the RFP and outlined in the model proposals.

3. Ratings were generally higher on proposals which followed the format required in the RFP. As a result, the probability of funding was improved by adherence to USOE proposal requirements.

4. Some LEAs totally ignored the proposal specifications in the RFP. In general, such proposals tended to receive lower ratings. In a system such as that established by USOE, where reviewers are attempting to apply objective criteria to judge specific portions of a proposal, failure to include required information or sections in a proposal will generally be disadvantageous to the applicant LEA.

TABLE 5.2

1981 Title IV Ratings/Ranking

Proposal Number	Team Rating	**Recommended Action	Proposal Number	Team Rating	**Recommended Action
125-2	94	C	101-2	93	A
102-2	89	A	*D-302-2	87	A
*D-208-2	87	A	108-2	86	A
105-2	85	A	*D-206-2	85	A
*D-207-2	85	A	*D-203-2	85	A
128-2	83	A	*D-209-2	81	C
129-2	81	C	117-2	79	C
104-2	79	C	110-2	78	C
127-2	78	C	111-2	76	C
300-2	76	C	113-2	73	C
*D-205-2	73	C	*D-202-2	71	C
*D-204-2	70	C	*D-200-2	70	C
*D-201-2	69	D	107-2	60	C
126-2	60	C	111-2	59	C
111-2	59	C	116-2	59	C
121-2	58	D	109-2	56	D
122-2	46	D	115-2	46	D
100-2	43	D	112-2	32	D
124-2	20	D	303-2	19	D
103-2	19	D	301-2	18	D
120-2	12	D	123-2	NR	D
119-2	NR	D	106-2	NR	D

*D = Development Grant
**Key to Recommended Action: A = Approve
C = Conditional Approval
D = Disapprove

5. The results of the 1981 proposal review process served as the basis for USOE decisions about Title VI - C projects to be funded in 1981-82. Political considerations and individual influence (prevalent factors in far too many proposal review processes) are commendably lacking in the USOE decisions concerning Title IV - C projects.

6. District size does not seem to influence team ratings or recommendations for action in any particular manner, as can be seen in Table 5.3 below. Technical assistance from EPAs does, however, seem to be related to proposal quality as judged by team ratings. EPA assistance in preparing Title IV - C proposals was provided to six districts; the resulting recommendations for action relating to those proposals are shown by numerals in parentheses in Table 5.3. It would seem that EPA technical assistance is particularly important to small districts who wish to submit successful proposals.

TABLE 5.3

RELATIONSHIP OF DISTRICT SIZE TO RECOMMENDED ACTION FOR PROPOSALS IN 1981 PROPOSAL REVIEW

	Recommended Action			
District Size	Approve	Conditional Approval	Disapprove	Total
A	5 (1)	8	7	20
B	3	3	4	10
C	0	5 (2)	0	5
D	2 (2)	2 (1)	4	8
Totals	10 (3)	18 (3)	15	43

6. TECHNICAL ASSISTANCE

During the 1980-81 year, the Utah State Office of Education (USOE) has continued to support LEAs who need technical assistance in various aspects of their Title IV - Part C projects through providing, upon request, the services of an Educational Program Auditor (EPA). Under the current contract, the Wasatch Institute for Research and Evalution has worked with USOE officials in coordinating the maintenance and operation of a pool of well-qualified professionals to provide EPA services to districts which request such technical assistance.

The EPA services are made available to LEAs because of USOE recognition that many districts whos personnel are well-qualified to operate a high-quality Title IV - Part C project may lack personne with relevant expertise in some specific technical areas impotant for the project to write competitive proposals or to fully comply iwht federal and state expectations for projects. Such technical areas would include, as examples, (1) proposal preparation, (2) proposal revision, (3) internal evaluation, (4) budget management to meet Title IV - C guidelines, (5) preparation for external onsite evaluation team visits, and (6) preparation of project reports. More specific information about the nature of technical assistance which might be provided under each of these areas is contained in a document entitled, "Guidelines for Title IV EPA Services", which was sent to all Title IV - Part C project directors. A copy of that document appears later in this report.

Importance of Using EPA Services

The onsite evaluations of Title IV - Part C projects during 1980-81 revealed that the use of EPA services is, for many LEAs, a critical determinant in project success. Conversely, low ratings and, in some cases, discontination of projects resulted from deficiencies which could have been readily avoided had services of a qualified EPA been utilized. For example, a number of projects were appropriately given low ratings for their failure to conduct an adequate internal evaluation as required by Title IV - C guidelines. Other project proposals were judged inadequate in areas which could have been readily corrected by an EPA with expertise in proposal preparation, writing objectives, and the like.

Given the technical and somewhat rigorous Title IV - C guidelines, it does not seem an overgeneralization to state that, for many LEAs, appropriate use of an EPA seems to correlate well with their overall success in obtaining funds and operating effective projects. Indeed, many of the problems which were noted by onsite evaluators could be reduced or eliminated if EPA services were used appropriately at early stages of project development and operation. Given that costs for the EPA are supported by the USOE, there would seem to be little reason for any district to perform inadequately in technical areas merely because of an absence of relevant technical expertise on their staff.

Information Provided to Project Directors About the EPA Process

In an effort to fully inform all Title IV - Part C project directors of the availability and intent of EPA services, the set of guidelines for EPA services described earlier was sent to them on March 2, 1981, under an appropriate cover memorandum. The guidelines and memorandum appear in Appendix 6.1 to this report. In addition, the guidelines were distributed to all persons in attendance of the Title IV - C Project Directors' meeting held by the USOE in the Granite School District office on September 30, 1981.

Maintenance of EPA Pool

During the current contract, the following activities were conducted to assure maintenance of a pool of well-qualified EPAs willing to respond to LEA requests for their services.

1. USOE and LEA officials were contacted to (a) obtain reactions to services provided by former EPAs and determine who should be retained on the list; and (b) obtain nominations for any additional persons qualified to serve as EPAs whom they wished to have added to the list. This process resulted in the addition of two persons to the list of qualified EPAs; no persons were deleted from the list.

2. The new EPA nominees were contacted and invited to serve as EPAs for 1980-81 and, upon agreement to serve in such a capacity, were added to the USOE list of EPAs for 1980-81. New EPAs were also asked to provide brief resumes for inclusion in a USOE file made available to any LEA who wishes to examine backgrounds of potential EPAs.

The Utah State Office of Education approved the individuals listed below to serve as EPAs during 1980-81.

EPA	Institutional Affiliation
Dr. Harley Adamson	Secondary Education Weber State College
Dr. Frank Ascione	Psychology Utah State University
Dr. Richard Blake	Office of Research and Development Weber State College
Dr. Keith Checketts	Office of Institutional Research Utah State University
Dr. Thomas Cockayne	Medical Education University of Utah
Dr. Cecil Clark	Instructional Science Brigham Young University
Dr. Michael DeBloois	Instructional Media Utah State University

Dr. Nick Eastmond	Instructional Development Utah State University
Dr. Luan Ferrin	Teacher Corp Weber State College
Dr. Larrie Gale	Instructional Science Brigham Young University
Dr. Alan Hofmeister	Graduate School Utah State University
Dr. Richard Kay	Secondary Education Brigham Young University
Dr. Glenn Latham	Exceptional Child Center Utah State University
Dr. Blair Low	Professional Field Experiences Weber State College
Dr. Paul Merrill	Instructional Science Brigham Young University
Dr. Daniel Morgan	Special Education Utah State University
Dr. Russell Osguthorpe	McKay Institute for Research and Evaluation Brigham Young University
Dr. Brent Page	Psychology University of Utah
Dr. Blaine Parkinson	Education Weber State College
Dr. D. William Quinn	McKay Institute for Research and Evaluation Brigham Young University
Dr. Terry Applegate	Educational Research Bureau University of Utah
Dr. W. Keith Evans	Educational Research Bureau University of Utah
Dr. James Shaver	Bureau of Educational Research Utah State University
Dr. Monte Shelley	McKay Institute for Research and Evaluation Brigham Young University
Dr. David Stone	Psychology Utah State University

EPA	Institutional Affiliation
Dr. Ron Thorkildson	Exceptional Child Center Utah State University
Dr. Adrian Van Mondfrans	McKay Institute for Research and Evaluation Brigham Young University
Dr. Bruce Wainwright	Behavioral Consultants
Dr. Richard Young	Special Education Utah State University

Operation of EPA Technical Assistance Process

The following steps were taken to maximize the availability and utility of EPA technical assistance to LEAs.

1. All local district superintendents were informed of the availability and nature of EPA assistance in a February 2, 1981 letter from the USOE which invited districts to submit Title IV - Part C proposals for FY 82. A "tear-out, sign and return" page was attached for districts to use to inform USOE officials that EPA assistance was desired.

2. A log was developed for use by USOE officials to record the number and nature of requests for EPA assistance, along with information concerning the actual assistance provided.

3. All requests for EPA assistance were directed to Bill Cowan in the USOE and, upon approval, he either contacted prospective EPAs directly or requested that WIRE contact them to make arrangements for appropriate services, as requested by the district, to be provided.

4. Form letters were developed by WIRE and used by USOE officials to communicate with Title IV - C project directors who requested EPA services and the EPAs assigned to provide those services. The guidelines for serving as EPAs were made available to all persons selected to serve as EPAs for this year, and they were asked to adhere to those guidelines in the provision of

services to LEAs. Project directors who requested EPA assistance were also provided copies of the EPA guidelines to help them determine the range and scope of specific services they might request from an EPA.

Sample copies of memoranda to project directors and EPAs appear in Appendix 6.2 to this report, along with a sample of the log used to record LEA requests for EPA services.

Results: EPA Services Provided During 1980-81

The EPA services provided during 1980-81 can be summarized as follows:

1. Fourteen (14) LEAs requested EPA services; 12 retruned the "tear-off" sheet and two LEAs made the request by telehpone.

2. Of the 14, six really posed specific questions concerning Title IV - C procedures or regualtions which were answered by USOE officials in telephone or written communication; EPA assistance per se was judged by USOE to be unnecessary for these six districts.

3. The remaining eight LEAs were each assigned an EPA.*

4. Of these eight, seven actually received EPA assistance, six with proposal development and one with report writing. In the eighth case, the EPA and district officials were unable to arrange a mutually agreeable time for the assistance to be provided. Neither USOE nor WIRE staff were aware of this difficulty until it was too late to reassign another EPA.

Model Final Report

Although not strictly part of the EPA process, an additional effort was made to give "technical assistance" to project directors in the preparation of their final reports. This assistance came in the form of a "Model Final Report" which was developed by WIRE in 1980, expanded and revised in 1981, and sent by USOE to all 1980-81 Title IV - Part C project directors. Based on reviews of previous reports and reactions of some project directors in the 1980 model report, it appeared that use of a model report may help to improve the overall quality of Title Iv final reports.

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*Seven EPAs were used; to economize on travel costs, one EPA was asked to serve two LEAs located close together in the southern part of the state.

The model report was designed as an instructional packet, with annotated comments inserted to explain the rationale and/or preferred content for specific sections of the report. In revising the model report, it was expanded to include segments of a contrasting "unacceptable report" to illustrate how the report should *not* be written. Acceptable and unacceptable revisions of each report section were presented on facing pages so that project directors could compare and contrast adequate and inadequate handling of content for each section. Copies of the model final report appear in Appendix 6.3.

Summary and Recommendations

It is apparent that the EPA assistance provided to LEAs during the past two years has markedly imporved the quality and relevance of the Title IV - C projects in those districts. It is also clear that the USOE is willing -- even eager -- to provide EPA assistance at no cost to LEAs to encourage them to obtain and use relevant technical expertise as necessary in their projects. Yet it remains a fact that many districts who demonstrably would benefit from help with the technical aspects of their Title IV - C projects fail to request or obtain such help through EPA (or other) assistance.

To ensure that districts who receive state funding for Title IV - C or similar innovative projects hereafter obtain needed technical assistance, *it is recommended that technical assistance, as appropriate, be assigned by the proposal review panel at the time that a proposal is approved*. Making the receipt of necessary technical assistance a condition of funding for particular projects should greatly enhance the quality and effectiveness of Title IV - C and related projects.

7. LEA STAFF PERCEPTIONS OF THE BENEFITS, OPERATION, AND MANAGEMENT OF TITLE IV-C

This document reports the findings of an evaluation of the procedures used during 1980-81 for managing funds allocated to Utah school districts under Title IV-Part C of the Elementary and Secondary Education Act of 1978. The purpose of this study was to collect information and judgment data from local school district personnel throughout the State regarding their knowledge and understanding of Title IV-C, and the selection, monitoring, evaluation, and reporting procedures associated with this funding program. The study was commissioned by the Division of Program Administration of the Utah State Office of Education and was conducted by Wasatch Institute for Research & Evaluation. The staff involved in the study included Dr. D. William Quinn, Nancy Quinn, Dr. Richard R. Sudweeks, and Dr. Adrian Van Mondfrans of the David O. McKay Institute of Education at Brigham Young University, and Dr. Karl R. White of Utah State University.

The 1980-81 study of the school officials' knowledge of and attitude towards the operation of the Title IV-C built upon and benefitted in several ways from a previous study which evaluated the operation and effects of Title IV-C operation during the 1979-80 school year. One benefit is that the existence of the 1979-80 data allowed comparisons to show whether changes in knowledge and attitudes resulted from changes in the circumstances and operation of the Title IV-C program. For example, were changes in district officers' attitudes towards the program associated with funding cutbacks, changes in the application process, or delays with the proposal and award notifications? Such questions require data from more than one year and can be addressed in this report.

A second way in which the 1980-81 evaluation benefitted from the previous year's evaluation was that the strengths and weaknesses of the 1979-80 evaluation were instructive in making the 1980-81 evaluation procedures stronger and more efficient. For example, by examining the data obtained in the 1979-80 evaluation, it was possible to sort out those issues which seemed most profitable for further exploration, from those issued which were adequately answered last year and were not likely to change due to changes in the operation of the program.

Methods

For the evaluation of the 1979-80 program, three questionnaires were used to collect data from four groups. The groups who provided the data, the questionnaires used to gather information from each group, and the return rate for the 1979-80 evaluation are shown in Table 7.1.

Because only 75% of the superintendents responded and information from the superintendent group was critical to the evaluation results, telephone interviews were conducted with the ten districts which didn't respond initially. In addition to collecting much of the information originally requested on the questionnaires, the telephone interviews yielded some important insights. As the responders provided the data asked for in the telephone interviews, they frequently gave important clarifying information and described the larger context in which the questionnaire data should be interpreted. The "success" of these 1979-80 telephone interviews encouraged us to use this data gathering technique again in 1980-81. Thus, the superintendent or their Title IV coordinators of the forty school districts in the state were interviewed by telephone using a carefully prepared telephone survey form based on last year's questionnaire (see Appendix 7.1). All 40

TABLE 7.1

Type of Questionnaire Data and Return Rate Collected

for Evaluation of 1979-80 Program

Type of Questionnaire	Sample	No. Sent Out	No. Returned	Return Date
1. Project Directors	All directors of Title IV-C Projects funded during 1979-80 school year	50	40	80%
2. Superintendents	The Superintendent in each district or person in district responsible for coordinating outside funding	40	30	75%
3. Principals/Curriculum Specialists	Random sample of school principals stratified by level of school and size of district	60	38	63%
	Systematic sample of curriculum specialists in various public elementary and secondary schools in Utah	17	9	53%

districts were contacted and telephone interviews were completed for each district.

A second critical group to gather data from is the project directors for Title IV-C projects. A hundred percent response from this groub would be ideal. We also interviewed this group via telephone to ensure a high response rate. One hundred percent of the project directors responded. The telephone survey used with this group is found in Appendix 7.2.

A careful consideration of the utility of the data and the issues that remained to be addressed by data from the third and fourth groups assessed last year (the building principals and curriculum supervisory personnel) showed that little or no additional information critical to understanding the operations of Title IV-C would be gained by re-assessing these groups. Therefore, these two groups were deleted from the 1980-81 study. If changes in the circumstances and/or operation of the Title IV-C program in subsequent years appear likely to effect district personnel at the building principal or curriculum specialist levels, then a re-assessment of these groups may be warranted.

The telephone interview survey schedules were prepared by the staff of the David O. McKay Institute and reviewed by three professional evaluators, including Dr. Karl White from Utah State University. A telephone interviewer, Nancy Quinn, was trained to use the instruments. Her performance over the duration of the data collection was carefully monitored by a professional evaluator.

Superintendents/District Offices Interviews

The 1979-80 evaluation resulted in several conclusions and recommendations which are relevant to the 1980-81 study. First, the 1979-80 conclusions provide general perspective for interpreting the 1980-81 findings. Second, a comparison between the results of the two years can provide important insights about the relative effectiveness and various procedures used in each year. To make it easier for the reader to make comparisons between the results and conclusions of the two years, excerpts from the 1979-80 report are often duplicated in this report.

Two important conclusions from the 1979-80 study were not investigated further this year, because it was concluded that it was unlikely that conditions affecting the variables had changed sufficiently to alter the conclusions. Those two conclusions have been excerpted below from the 1979-80 report.

1. Title IV-C provides funds which are apropriate for some of the most serious educational needs faced by LEA's. Of the 23 categories of serious needs cited by the respondents, 15 (65%) could be addressed with Title IV-C funds. These data indicate that Title IV-C remains a viable source of funds for addressing locally identified, high priority needs. It is also important to note that 8 (35%) of the serious need categories cited by the LEA officials are outside the purview of Title IV-C. In almost every instance, resolving these other categories of high need would require additional financial resources.
2. Superintendents and other individuals with district-wide responsibilities generally are more familiar and more experienced with Title IV-C than school principals. Proposed Title IV-C projects are usually conceptualized and initiated at the district office level. School principals tend to become involved only when someone in the district office proposed a project which directly involves their school. Given this pattern of project initiation, obtaining district level support for the development, operation, and continuation of successful projects should not be a major source of problems as might occur if most projects were being conceptualized and proposed at the building level. However, the fact that most projects are initiated at the district level places a burden on the central office personnel to solicit continuing input regarding potential Title IV-C projects from a wide variety of LEA staff.

Proposal Submission

The third conclusion from last year's report reads as follows:

> Ninety-five percent of the districts indicated that they had previously submitted a Title IV-C proposal, and 90% of the districts reported that they had been awarded at least one grant under this funding program. The one district which was certain that they had never submitted a Title IV-C proposal indicated that they probably would submit a proposal for the coming year. These data indicate that over the total history of Title IV-C funding there are no serious gaps in the participation in Title IV-C throughout the state.

From last year's data the general picture regarding the extensiveness of Title IV-C participation over the years emerged. One focus that was missing related to the reasons why a district chose to participate (or not) in a particular year. In addition, since we know that most districts in the state have participated at some time in the past, we were interested in learning what influence their past experiences might have on present or future behavior.

As the superintendents or district officials were interviewed, they were queried about their decisions regarding proposal submission for the 1981-82 funding year. As shown in Table 7.2, 23 districts (58%) indicated they had written a proposal this year. The other 17 districts (42%) said they had not submitted a proposal.

TABLE 7.2

Utah Districts Submitting a Proposal to Obtain Title IV-C Funding for the 1981-82 School Year

Submitted a Proposal	23	(58% of n)
Did not submit a Proposal	17	(42% of n)
Total Districts in the State	40	

Of the 23 districts which submitted proposals, 14 (61%) were funded, and 3 (13%) had not yet received word about funding. A 61% success rate on proposals may be seen as unusually high or low depending on one's perspective. If a school district usually gets funded if they simply "make the effort", then 61% is likely to be seen as a low level of success. If Title IV-C is viewed as a situation in which a few "best" proposals are successful and a large cluster of "good" proposals are not funded, then 61% is a very high rate of success. From several comments volunteered by respondents, the first perception (make an effort and you will be funded) appears closer to district officer's view of Title IV-C than the second (a few "best" proposals will be funded).

Several of the respondents from the 17 districts (42% of the total) which said they had not submitted a proposal made comments which were helpful in understanding why they didn't. Two themes arose from these comments. First, comments regarding reduced funding were cited by several districts (5) as discouraging them from applying. It is possible that some districts felt that since funds would be limited, their chances of having a successful proposal were lessened; and they elected not to submit one.

Further support for the suggestion that comments regarding reduced funding may have discouraged some districts from applying is found in the responses of those who applied and were not funded as to why they thought they weren't successful. The reduction of available funding was seen by district officers as a major reason that projects were not funded. Five out of the seven people who offered an opinion on why projects had not been funded gave this reason. The other reason given for why projects were not funded was that the district wanted to adopt a program which was no longer on the "adoptable" list. This reason suggests that better information on adoptable projects or more attention to existing information is needed. Perceptions by district officers that they have wasted their effort in writing a proposal which cannot be funded results in a serious psychological cost to the Title IV-C program. It is recommended that the present situation be reviewed to (1) determine if correct information regarding adoptables is made available to all districts in the State and (2) make sure all districts are notified as to the real reason their proposal was not funded.

The second theme reflects some of last year's concerns regarding the complexity or level of effort required to submit a proposal. Last year several district officers expressed concern at the formality and extensiveness of the proposal process. A few districts, primarily smaller districts, were concerned that the pathway toward securing Title IV-C funds used to be less clear and less demanding; but had now become better defined and more demanding.

Several other minor but still important points were noted regarding proposal submissions. One district indicated that they did not submit a proposal because of a legal complication they encountered with an earlier project. When the previous project came to its natural end, the district had no other openings, and the employees were released from employment. These employees filed for unemployment, and the district was required to pay unemployment benefits. This unforeseen expense was difficult for an already strained budget. Rather than risk paying unemployment benefits, the district decided to forego future projects.

Another district reported that they were told by their elected school board members that they should not submit any proposals for federal funds without approval of the school board members. The presently constituted board is concerned about the amount of red tape involved in preparing proposals and does not intend to have the school district involved in federal programs such as Title IV-C.

The Effect of Past History on Submitting a Proposal

District officers were asked about their past success in seeking Title IV-C funding and what effect their past experience had on whether they submitted a proposal for the 1981-82 year. Their responses must be very carefully interpreted because some respondents did not know most of the history of their district with regard to Title IV-C. Rather than try to sort out fact from fiction in the historical data, only their opinions of past success rates will be presented. These opinions may not be accurate representations of what really happened, but they are important data because what people "feel" has happened is more likely to effect their behavior than the actual (but not remembered) version of what happened.

The district officers of those districts which did not submit proposals believed that approximately 67% of the Title IV-C proposals they had submitted in the past had been funded. The district officers of those districts which did submit a proposal for 1981-82 believed that approximately 64% of their past proposals had been funded. District officer's perceptions of the levels of past success was not associated with whether proposals were submitted this year.

Yet, when the district officers were asked whether their previous success in Title IV-C proposals was influential in their decision whether to submit a proposal, an interesting pattern emerged as shown in Table 7.3. Seventy-eight percent of those who submitted proposals said their past level of success was "Very Influential" or "Fairly Influential". Seventy-seven percent of those who

TABLE 7.3

District Officer's Judgements of the Degree of Influence Previous Success in Title IV-C Proposals had on Submitting Proposals This Year

	Proposal Submitted This Year					
	Yes		No		Total	
Level of Influence	#	%	#	%	#	%
Very Influential	12	52	4	24	16	40
Fairly Influential	6	26	0	0	6	15
Slightly Influential	1	4	1	6	2	5
Not Influential at all	4	17	12	71	16	40
	23		17		40	

did not submit proposals this year judged their past levels of success as either "Not Influential at All" or "Only Slightly Influential". From these data it appears possible that for those who decided to submit a proposal, past experience served as a positive, motivating factor. For most of those who chose not to submit a proposal, past experience was not important.

The influence of the other factors volunteered by respondents as associated with a decision about whether to submit a proposal are listed in Table 7.4. By far, the factor most frequently listed in Table 7.4 as influencing the decision about whether to submit a proposal is that the district had a need.

Several of the factors listed may be of interest to State Office of Education officials and Title IV advisory committee members as they plan for the future. For example, the concern raised by one district officer regarding what to do when federal funding is ended on a project may reveal a lack of understanding of the Title IV-C goal of addressing critical local needs but not supplanting local funds. Districts should be clear about, and in favor of, picking up the financial responsibility for projects which were effective in addressing their needs. Do the other factors mentioned show that other aspects of the program may not be understood or appreciated as they should by some district officers?

When these factors are compared to those identified in 1979-80, the similarity is clear. The fourth conclusion from 1979-80 report stated:

> In accordance with the congressional intent authorizing Title IV-C, the most frequently mentioned reasons for selecting Title IV-C funds were the need for additional funds and the seriousness of the educational problems for which a project was being proposed. Other frequently mentioned reasons were the enthusiasm of district personnel and the district's previous success in applying for proposals (73% and 60% respectively in the "quite" or "extremely influential" categories). Although not the most frequently cited reason for submitting a Title IV-C proposal, the fact that a major reason for applying is because they have been successful in the past, suggests a potential problem. If some districts are not

TABLE 7.4

Other Factors Listed as Influencing the Decision to Apply for a Title IV-C Grant

	Level of Influence				
Factor	Very Infl.	Fairly Infl.	Slightly Infl.	Not At All	Total
Positives:					
We had a need.	12	5	1	4	22
Previous rejection taught us what to do this time.	1				1
Encouragement from the state office.	1				1
We just automatically submit one every year.	1				1
We had an opportunity.		1		2	3
We felt confident because of our past track record.		1			1
Negatives:					
Did not have technical assistance in writing.	2				2
The process is too hard for a small district; may not be worth the money.	2			5	7
Not enough time to submit.	1			2	3
We had the negative experience of being turned down on a project, and then finding out that the State had money left that they just held over to next year.	1				1
We are concerned about continuing after Federal funds.		1	1		2
We had no need for the programs offered.		1		4	5
Employment standards are a concern.			1		1

> applying because they have not been successful previously, USOE needs to put increased emphasis on providing technical assistance to districts in writing and submitting proposals.

Technical Assistance

The state office of education has set up procedures whereby districts can obtain technical assistance for Title IV-C projects. Districts initiate requests for assistance, and the USOE responds to the requests as possible within the restrictions of available funding. Several concerns were raised last year regarding the technical assistance rendered as shown in the following excerpt from the 79-90 report below.

> The effort to provide technical assistance to all districts which need help in conceptualizing and writing competitive proposals should be continued. Serious consideration needs to be given to the problem faced by superintendents in small rural districts who desire to obtain Title IV-C funds for their district. These superintendents typically do not have experienced proposal writers on their staff, and many of them lack confidence in their ability to prepare competitive proposals. With all of their other duties and responsibilities, several of these superintendents felt that they could not afford to take the time to prepare a proposal which was not likely to be funded. Several superintendents perceive the present requirements to be unnecessarily precise and technical, and, therefore, inequitable to small districts who lack technical expertise. They are not merely asking for guidance or suggestions from an outside consultant; what they want is to have a qualified proposal writer come in and ask questions and help them conceptualize the project and then write the proposal for them. This suggestion represents an expansion on the present system of providing technical assistance during the proposal writing stage and merits further consideration by USOE if adequate funds are available. The implementation of this expanded programof technical assistance would help to ensure that projects are funded as a result of need rather than the district's grantsmanship skills.

Table 7.5 shows the pattern of responses to the 1980-81 evaluation questions concerning the technical assistance received by the districts, from what source, and a rating of how helpful that assistance was.

It is important to note several elements of the data. Most of the districts who sumitted a proposal asked for help in the process. Most of the help they needed was apparently supplied in a quantity and of a quality that

TABLE 7.5

Reported Use and Rated Helpfulness of Consultants

for Title IV-C Proposals

	Rated Helpfulness of Assistance				
Type of Consultant	Don't Know	Not Very Helpful	Moderately Helpful	Very Helpful	Number & Percent of Respondents Submitting a Proposal Who Received Help from This Source
SOE Staff Member	1 (7%)[1]	1 (7%)	2 (14%)	10 (71%)	14 (61%)
University-based Consultants	0	0	0	9 (100%)	9 (39%) 23 (100%)

Note: The percents shown are based on the number of people in each row. The totals are shown in the right-most column.

respondents viewed as "very helpful" (83%) or "helpful" (9%). The university-based consultants were viewed as "very helpful" 100 percent of the time!

The nature of help provided was usually different depending on the source. From the state office, district personnel has questions answered, were referred to proposal writers, received information on proposal guidelines and adoptable projects, and received a preliminary review of proposed projects through having the USOE person read a draft proposal or make a site visit. The help asked for from university-based consultants was either proposal writing or evaluation design help. In comparing the types of help requested this year to previous years, it appears that the level of advice and encouragement given is about the same but that the amount of technical assistance has dropped. The ratings of the helpfulness of the consulting services provided by university-based personnel was particularly high.

Technical Assistance and the Success of the Proposal

When compiling the above data showing the type of help districts received and their success rates, it apeared that there might be some relationship between these factors. Table 7.6 shows the nature of this relationship and does indicate that utilizing technical assistance is related to obtaining funding.

TABLE 7.6

Funding Success for Districts Receiving and Not Receiving Technical Assistance Through the State Office of Education

	Received Assistance	Did Not Receive Assistance
Funded	13	
Not Funded	1[a]	6

[a] One district that was not funded reported that they received help in the form of answers to questions on guidelines via a telephone call. Note that three districts were not yet certain if their project would be funded.

District Officers Perceptions of Criteria Used in Proposal Review

The fifth conclusion from last year's report stated:

> During 1979-80 the USOE initiated a practice of providing much more extensive information to LEAs regarding the criteria used in deciding which Title IV-C proposals should be funded. This practice should be continued. To be of greatest value, however, each criterion and its relative weighting should be described as explicitly as possible.

During the 1980-81 interviews, district officers were asked about their perceptions of the criteria associated with reviewing Title IV-C proposals. When asked how familiar they were with the criteria used in reviewing Title IV-C proposals, nine (23%) indicated that they were only "vaguely familiar". The sample proposal with it's marginal comments was intended to serve as a guide not only to the type and level of information desired, but also as an indication of the standards or criteria to be used. It appears more attention to publicizing and drawing attention to the criteria which are used would benefit those who prepare proposals.

Only those who answered that they were "extremely familiar" or "fairly familiar" with the criteria used in reviewing proposals were asked about the appropriateness of the criteria. Those who indicated they were "extremely familiar" with the criteria (6 people) said that the criteria are "very appropriate" (67%) or "fairly appropriate" (33%). The district officers who indicated they were "fairly familiar" with the criteria (24 people) had a more diverse response. Only 5 (21%) felt the criteria are very "appropriate". The majority (16 or 67%) felt the criteria are "fairly appropriate". The rest felt the criteria are either "fairly inappropriate" (2 or 8%) or "very inappropriate" (1 or 4%).

There is a tendency for those who feel they are more familiar with the criteria used to rate the criteria as more appropriate. However, the fact that the majority of the district officers rated the criteria as "fairly appropriate" (58%), "fairly inappropriate" (6%), or "very inappropriate" (3%) suggests that some concerns exist about the criteria used as understood by the district officers.

The specific concerns or comments concerning the criteria used as given by the district officers are listed below:

1. "I am very happy with the new way of dividing districts." (2 people)
2. "The big districts can hire writers, and that gives them an advantage." (3 people)
3. "Everyone reads things differently."
4. "It is as fair as possible."
5. "We have usually been funded, so we are happy."

6. "We used to feel discriminated against, because we were near the State Office; they used to go the other way in proving non-discrimination; but that has gotten better the last two years."
7. "We were told ahead of time, before the proposal was written, that we would have funding."
8. "I don't have a concern about the criteria - just about the proposal process. It really wasn't worth the time for a small district."

This list should not be viewed as the list of concerns since several other questions in the interview also generated lists of concerns. All the lists should be considered together to see if consistent themes emerge. Concerns mentioned only once should not be overlooked. Each statement is worthy of consideration and may suggest constructive actions. Consistent themes demand consideration. For each consistent theme, hopefully, a constructive course of action will be possible.

One large general list was generated by the invitation to the district officers to discuss any specific concerns they had regarding the Title IV-C program. This list is presented in Table 7.7.

A second general list was generated by asking the district officers if there were any additional comments they would like to make to help the evaluators better understand their feelings about the Title IV-C application process or requirements. This list is reproduced in Table 7.8, and similar statements have been clustered in groups to better determine if major themes exist.

The last list shown in Table 7.9 which will be quite redundant with the previous lists, was generated by asking the superintendents and/or district officers, ". . . what changes need to be implemented by the Utah State Office of Education or the State Advisory Council in order to significantly improve the operation of Title IV-C in Utah?"

Comments in this list have also been clustered to make it easier to understand.

TABLE 7.7

District Officers' General Concerns Regarding the Title IV-C Program

(13) In spite of the state office or consultant help, small districts cannot compete with the larger districts or the districts on the Wasatch Front which have good resources available.

(6) There is an unspoken process for proposal selection. It involves favoritism toward Wasatch Front districts and biases for some programs over others.

(2) A better cross-section of readers is needed to avoid favoritism and give a more balanced point of view, and a more sensitive treatment.

(2) There is prejudice against funding SLC area districts in order to avoid the appearance of favoritism. (One respondent said it was better the last two years).

(1) The process is too philosophical--carrying it out is the problem.

(1) We could be kept better informed about funding.

(1) From the state's point of view, I would require more evaluation.

(1) The process is biased in favor of a research format.

(1) The state refused help to our district in either writing a proposal, in any support role, or in providing a consultant.

(1) The budget amounts; in a small district you write for such a small amount that it isn't worth the effort.

(1) There is too much red tape with developmentals. Some districts tell us they will never get involved in that again.

(1) The state office is too rigid in how they expect the adoptables to be carried out. We once did a project from another state and wanted to modify it to fit our climate, etc. and were told we could not.

Note: The number in the parenthesis shows the number of separate individuals mentioning the concern.

TABLE 7.8

District Officer's Comments About Their Feelings Toward the Title IV-C Application Procedure and Requirements

A

(3) It is not worth it.

(1) The process is bulky, lengthy.

(1) It's just something we have to go through.

(1) There is too much detail and repetition; basic implementation is the issue.

(1) It's an exercise in futility; I can't see what purpose it serves.

(1) I like other projects better where there is just a statement of intent.

(1) Judges--people around the state may not understand the project suggested.

(1) Federal proposal money leads to short programs with no long-term change in education.

(1) The application process is a way to justify decisions that have already been made. Whether the application is good or bad, if they want a district to be funded it will.

(1) We had a bad experience a couple of years ago with a biting review by a judge and haven't applied since.

B

(1) There is red tape, but it helps delineate the project.

(1) The state goes overboard to make projects successful in the districts.

(1) I appreciate the problem of trade-offs. There used to be more flexibility but less control; now, there is less flexibility but more control.

C

(2) The new system of allocation is better.

(2) The process is fair.

(1) I appreciate participating.

(1) I'd like to qualify for a project--it gives a chance to go off in some fields you can't otherwise.

(1) All the money on this one went to the kids; no administrative costs.

D

(1) I've been encouraged by the process of proposal writing.

(1) As long as the State gives a consultatn to small districts we can compete.

(1) I would like training in writing proposals.

(1) It takes more effort for a small district to submit proposals.

(1) The State help on proposals is not worth much; they proffer a lot and don't come through.

E

(1) They should judge proposals on merit.

(1) They should flow the money directly to the districts.

(2) Simplify things and make them fair and equitable.

(3) The State should let us know what funds are available and for what projects. (Apparently unliked projects will not be funded and they want to know ahead of time.)

(1) I recommend a visit to the sites of other adoptable projects--to see if it is appropriate for the situation and for the excitement it generates.

(1) I would like to write a proposal for our needs instead of to fill the proposal needs.

F

(1) Research is impractical in most districts; we don't have resources to do it right; adoptables are more reasonable.

G

(5) No suggestions, or added comments.

TABLE 7.9
District Officer's Suggested Changes to Improve the Operations of Title IV-C in Utah

A

(7) Revise the application in length and specificity.

(3) Make the application process fit the needs of small districts. (One of these said smaller districts have no chance to politic.)

(3) We need more information to write proposals; this process is not fair.

(3) The state could sit down with district personnel and give them a chance to give some input.

(1) Get to know the districts.

(1) Put greater emphasis on the districts and appropriateness of the project instead of the form of the proposal.

(2) They could let us know earlier about funding so that we could start earlier.

(1) Give time lines clearly for applications and make them consistent year to year. (The deadline was changed, and he had not been informed.)

(1) Continue to help small districts, especially with list of adoptable projects.

(1) Let us know what money is available and what projects will be funded.

(1) Make sure that readers are well trained.

(1) Readers are sometimes very research oriented and not practically oriented.

B

(1) Provide enough money to do the project completely.

(1) Put money into adoptables and not developmentals.

(1) Give more material in a simplified way on successful projects.

(1) Do evaluation by inspection istead of paperwork.

(1) Put the travel money to see adoptables back in.

(2) More monitoring from the State Office.

C

(5) Every district should get some money periodically, without the proposal process per se.

(1) Flow money directly to the districts.

(1) More money.

D

(3) They have been very helpful and willing.

(1) As long as it's a Federal regulation they can't change it.

(1) Don't know anything to change. It is a singel application, a good idea, fairly simple.

(1) Generally satisfied.

(3) It is okay.

E

(1) It used to be easier, I don't know if they have the power to really change the way it is now.

(1) The money is not worth the effort.

(1) Getting mail on time is a problem in small districts. I have been told that mail is held in the State mail room until they have a fair amount and then they send it all at one time. They were late sending things I needed.

Tables 7.7-7.9 show that small districts are concerned that the Title IV-C application and awarding procedures are unfair smaller districts believe they lack the proposal writing resources of the larger districts and don't have equal access to technical assistance. Even if this latter perception is not true, care should be taken to counter it by ensuring that smaller districts, especially outlying ones, are specially invited to use the technical assistance help they need.

District officers are also concerned with the rigor and extensiveness of the application system. This concern puts the state in a difficult position. Rigor and clarity are needed or there will not be a sufficient basis for selecting the proposals most likely to succeed. Without rigor and specificity one would have to use some sort of formula system for awarding the money. Although several districts were in favor of a formula system for awarding money, this would create serious problems of its own.

These first two major themes suggest that even more attention should focus on the provision of technical assistance to those districts which most need it. More advertising of the availability of technical assistance, expecially to the smaller districts, would help to make sure that more districts who need it take advantage of it.

There is some sentiment against developmentals (which some districts equate with research) and for adoptables. The districts would like to have money in the adoptables program to travel to those locations where the program is to learn the informal, but often critical, things which make the difference in whether the program will really work in their district.

Semantic Differential Ratings

In Table 7.10 the semantic differential ratings the Title IV-C program are presented. The first four scales show the same general pattern with most

Table 7.10

Semantic Differential Ratings of the Title IV-C Program by District Officers

Polar Scale Dimension	Extremely	Moderately	Slightly	Neither	Slightly	Moderately	Extremely	Polar Scale Dimension
1. Fair	9	18	2	7	0	2	2	Unfair
2. Helpful	7	18	3	4	0	3	5	Not Helpful
3. Purposeful	7	18	5	4	1	1	5	Pointless
4. Necessary	9	19	3	3	1	0	5	Unnecessary
5. Practical Worthwhile	3	14	4	6	8	5	0	Just An Academic Exercise
6. Not Frustrating	3	7	1	1	6	10	12	Frustrating
7. Encouraging	1	3	3	9	5	9	10	Discouraging
8. To Restrictive	4	11	3	22	0	0	0	Not Restrictive Enough
9. Overly Complex	8	9	4	19	0	0	0	Overly simple
10. Favors Small Districts	0	0	0	12	2	7	19	Favors Large Districts

respondents responding on the positive end of the scale, thus saying that the application process is "fair," "helpful," "purposeful," and "necessary." Fewer than 20 percent of the districts rated these items negatively. On the fifth scale where the process was being rated on its practicality and worthwhileness, nearly 40 percent rated it negatively. On the items where the process was rated on whether it was frustrating (item 6) or discouraging (item 7) more than two-thirds of the respondents stated that it was.

A final critical point to note is that the majority of the respondents felt that the process favored large districts. The fact that such a perception exists, suggests that some action needs to be taken by the state. It is not implausible that the problems of small districts are as great or even greater than those of the larger districts. The state should carefully examine the process being used and make sure that no unintended biases exist and then make sure that smaller districts are encouraged to participate in the system and given the proper support.

Project Directors Interviews

During the 1980-81 year 34 Title IV-C projects were funded by the State Office of Education. All thirty-four of these project directors were interviewed by telephone, including 12 developmental and 22 adoptable projects.

State Office Contact with Project Directors

All but one project director reported contact with the State Office of Education more than twice. Indeed, almost half of the project directors (47 percent) reported contact six or more times. Clearly the state officers associated with Title IV-C are in contact with the project directors. Several directors praised the good communications they had with the state office.

They felt that their questions were promptly and willingly answered. A few people noted that the state people were generally available, but did not bother them unduly. Only three people suggested that having someone check on them more often would be helpful and supportive.

These results compare favorably with those from the 79-80's study in which directors indicated the following:

> Approximately 40 percent of the projects have contact with USOE staff more than four times during the year. Generally this contact is viewed as helpful, with the most positively viewed halp having been received in providing training for personnel involved in the project, suggesting sample materials from other successful projects, and providing encouragement to continue the project. Overall, the help provided to projects by USOE appears to have been very helpful.

Even more contact appears to have occurred between the state office and the project directors this year than last. This is probably a favorable change since the more contact the State has with the project directors, the more likely the project directors are to do that which is required by the State for continued funding. The additional contact which the USOE had with the project directors may have been in response to the eighth conclusion from the 79-80 report.

> The project directors want USOE to show an even more active interest and have more frequent contact with their projects. None of the directors indicated that they had been too closely monitored or supervised, but some of them did give indications that their contact with USOE personnel assigned to oversee their project had been too infrequent or inadequate. A policy of assigning a specific USOE staff member to oversee specific projects should be continued, but USOE should also implement a follow-up procedure to insure that the assigned staff member actually communicates with appropriate project personnel on a regular basis.

Training is one type of contact which the state can provide or orchestrate under Title IV-C provisions. When project directors were asked if they had received training in connection with Title IV-C, 15 (44 percent) said they had not received any training. Fourteen districts (41 percent) attended a workshop on Title IV-C.

The perceived value of the training received was generally positive. All but one project director who had participated in the training, rated it as "Very Helpful" or "Moderately Helpful". The question about training was asked early in the interview and most people were very satisfied with the help they had received from the state. Later in the interview, many people expressed the feeling that if they had needed more help they would have sought it and were confident they would have received it.

Two of the twelve developmental projects (17%) mentioned guidance from sources other than the state office. Adoptable projects, as expected, had a higher rate of outside help, i.e., thirteen of the twenty-two porjects (59%) involved in adoptable projects received such training.

Two people mentioned specifically that they saw the role of the state office as one of giving advice and support on administrative and regulatory issues. They expressed the feeling that the state office should not be expected to have expertise on every program in the state, and that it is more appropriate to receive help in detailed matters dealing with the programs from content experts or other districts involved in the same or similar projects.

Another type of contact available from the state office is technical advice or technical assistance. Budget assistance was the most frequently sought help by projects (28%). Other major categories of help sought were in the areas of proposal writing (17%), evaluation (12%), report writing (9%), and locating program experts (7%). None of the rest of the categories accounted for even five percent of the requests. One generalization supported by these data is that the nature of the help needed and the advice sought is very diverse. These data underscore the importance of the earlier conclusions about the importance of the technical assistance process.

All developmental projects and 73% of the adoptable projects received at least one onsite visit from the State Office of Education. When we tried to list the various types of help rendered on these visits, the list was very diverse and long. Only two categories, budget (22%) and evaluation (11%), were mentioned even ten percent of the time. All of the visits were rated as "Very Helpful" (70%) or "Moderately Helpful" (26%) except for one rating of "Not Very Helpful". Other help received from the state included letters and other mailed information, meetings at the state offices or other locations, making arrangements for workshops, and reviewing reports and other documents.

Clearly the state officers provide project directors with valuable help. The amount of help appears to be appropriate and about right. The quality of the help given is very high. The diverse nature of the help requested and given is impressive.

Suggestions for Additional Help

Perhaps the most important finding which emerged when project directors were asked how the state office staff could have been more helpful, was their overwhelming response was that they couldn't have been (76%). The other responses were to provide more money (15%) and to provide other types of help (9%) already being provided by the state for other projects. Apparently, some project directors are not aware of all of the types of help which are available and which have been provided to other projects. Sharing more information with all project directors regarding the type of help available would probably be useful.

Evaluation

A number of project directors had direct involvement with the external onsite evaluations conducted at the request of the State Office of Education.

Nine of twelve directors (75%) of developmental projects and four of the twenty-two directors (18%) of the adoptable projects reported they had received an onsite evaluation visit.

In Table 7.11, the responses of the project directors regarding the evaluation process on several semantic differential scales are presented. The general picture is that the favorable side of the scale (i.e., helpful, fair, ethical, etc.) was chosen 87% of the time. On the tenth scale, "Overly Complimentary" versus "Overly Critical," 8 of 11 project directors chose the neutral response which is the most desirable. Perhaps the most dramatic ratings were for the scale "Professionally Done" versus "Amateurish" where nine of eleven project directors felt the evaluation was "Extremely Professionally Done." A careful examination of the other scales in Table 7.11 will show that only one or two project directors at most were negative about the evaluation process on any one scale.

Some of the positive comments regarding the evaluation process included, "it is always nice to hear another point-of-view." "It gives me insight into needed areas of improvement and development." "It makes you look at what you are doing and see whether or not you are on target." "The evaluator made a suggestion for next year's project that improved it greatly." "I found out things that the teachers felt which they were not telling me." "It improved our communication on our project." "It makes sure that you are organized and goal directed." "It gives the results of teaching effectiveness." The "formative evaluation" nature of a number of these comments should be noted. Even though the requirement from the federal government is for summative evaluation, project directors are receiving substantial benefits of a formative nature.

Table 7.11

Semantic Differential Ratings of the Evaluation Process for Title IV-C by Project Directors

Polar Scale Dimension	Extremely	Moderately	Slightly	Neither	Slightly	Moderately	Extremely	Polar Scale Dimension
1. Fair	6	4	0		0	1	0	Unfair
2. Timely	4	6	0		0	1	0	Untimely
3. Helpful	5	2	2	2	0	1	0	Not Helpful
4. Accurate	4	5	0		2	0	0	Inaccurate
5. Comprehensive	8	1	0		0	2	0	Narrow
6. Unbiased	2	7	0	1	1	0	0	Biased
7. Needed	4	4	1	1	0	0	1	Not Needed
8. Ethical	7	4	0		0	0	0	Unethical
9. Professionally Done	9	1	0	1	0	0	0	Amateurish
10. Overly Complimentary	0	0	0	8	2	1	0	Overly Critical
Totals	49	34	5	13	5	6	1	

Several project directors commented negatively about the evaluation process. Some of these comments included, "It's time consuming." "There is too much detail." "He gave a confusing report." "You get a little pressure." "He was rushed, and didn't do an adequate job without outside help." "He was prejudiced about some aspects of our project." It should be noted that there were fewer negative comments than positive comments. Clearly this is in keeping with the general positive response to the evaluation as already indicated above.

Some project directors made suggestions for improving the evaluation process. Because these suggestions may prove useful as the state considers ways to improve the evaluation process, these are reproduced below. "The evaluators should make an on-site visit and see the program in action." "Evaluators should be sure they are seeing the right people." "Evaluators should come in better informed about the project." "Evaluation for developing the program as you go is more helpful than the final report at the end. However, that will take more money." In the training of evaluators who are going to make onsite visits, the three issues raised first have been central concern. The raising of those issues here simply reiterates the need for evaluators to plan ahead and to conduct the evaluation visit at a time which makes sense from the project's point of view.

Because more than half of the projects did not have an onsite evaluation visit, it seemed wise to determine if these project directors felt it would have been helpful to have had such an evaluation. In only four of the twenty cases (20%) did the project directors answer "Yes." Their positive comments included, "We would like to compare data with other people in the same or with different projects." "It is always good to get another point-of-view; to get some constructive criticism."

The project directors who did not think an onsite evaluation would have been helpful gave reasons such as, "The feedback from the state has been adequate." "It is a small project; we know what's going on." "It's been going on for several years," "It wasn't necessary; this project was just a matter of getting the materials out." "This is a proven project." "We knew what we were doing." "Evaluation doesn't do anything for the classroom teachers, and it adds to their workload." "The first year of the program was just inservice for the teachers; it won't be in the classroom until next year."

Many project directors did not seem to understand the potential of evaluation as a tool to help clarify and strengthen programs. When they did make specific comments, they expressed an interest in "formative evaluation" which would help them improve their programs as they were in progress. But they saw "summative evaluation" as being a burden in time and paperwork, and as a couple of people mentioned, a burden in money. It might be wise for the State to make training materials or workshops available to the districts to give them some basic instruction in evaluation techniques and theories. Opportunities to see how evaluation can help improve the quality of their programs would probably benefit many project directors.

These findings are for the most part consistent with the findings from last year regarding the evaluation process. For ease in making the comparison of this year's data with last year's data, last year's conclusion is reproduced below.

> For the most part, the formal evaluations of Title IV-C projects appear to have been conducted in a fair, objective, and professional manner. At least three-fourths of the project directors expressed positive attitudes regarding the evaluation of their project. Many of them described the evaluation as a learning experience which suggested ways which their project could be improved or which helped them better understand what USOE expects of funded projects. The policy of conducting onsite visits by trained, external evaluation teams with explicitly stated criteria should be continued.

Suggested Improvements for the Title IV-C Program

The last two questions asked of the project directors gave them a chance to suggest some overall changes they would like to see made in the Title IV-C program. Because some of these comments may provide insights to the State OFfice regarding desirable changes to make, many of them are presented in Table 7.12. Not all comments are reproduced in Table 7.12, however, since many of the comments made were too general to be of much value in guiding changes. Sixteen of the forty-two comments made were of this nature and were not reproduced.

Table 7.12

SUGGESTED CHANGES FOR TITLE IV-C BY PROJECT DIRECTORS

I. Provide More Money
   a. Travel money to see adoptables in operating to help in choosing.
   b. Money for teachers who put in extra time because of the project either in implementation or inservice training.
   c. Money to hire people to help with dissemination activities.
   d. Money to have more contact with the originators of programs.

II. Provide Funding Earlier in the Year

III. Simplify Paper Work
   a. Make applications simpler.
   b. Simplify reports.
   c. Make sure we get copies of all reports.

IV. Provide More Services
   a. Provide more contact with State Office.
   b. Train people who are new in a program.
   c. Provide a statewide clearing house for materials so that they can be seen before ordering.
   d. Identify the successful projects and inform us about them.
   e. Provide more continuity in state contact persons, evaluators and funding.

Summary

1. Telephone interviews were conducted with two groups: (1) district superintendents or their contract officer and (2) Title IV-C project directors. By using telephone interviews 100% response rates were achieved.

2. Of the 40 districts, 23 (58%) submitted proposals this year. Some districts were reluctant to submit a proposal because of the complexity of the effort and the reduced funding available. Those who submitted proposals reported their level of past success (perceived as 64%) was an influential factor in their decision to submit. Those who did not submit a proposal said their past level of success (reported as 67%) was not influential in their decision.

3. The districts who submitted proposals reported their educational needs were influential in their decision more often than any other factor. Title IV-C is seen as a resource for helping school districts address their needs.

4. Almost all of the districts which submitted a proposal requested some form of assistance from the USOE. Most (92%) of those who received assistance rated it as "Moderately Helpful" (9%) or "Very Helpful" (83%). All the technical assistance rendered by university-based consultants was rated as "Very Helpful." University-based consultants were involved in proposal writing or evaluation assistance only. The assistance requested of USOE personnel was very diverse. There was evidence that requesting and receiving technical assistance was related to having a proposal approved. Additional effort should be taken to encourage small, outlying districts to secure technical assistance.

5. The district officers most familiar with the criteria used in evaluating proposals tended to see them as appropriate. Those district officers who were "Fairly Familiar" with the criteria tended to rate them less favorably. Better advertising of the criteria would probably be wise.

6. As problems or concerns were listed, several general themes emerged from minority of the districts. Among these are the perception that the process of applying is unfair to small districts. Small districts, especially outlying ones, also reported concerns about the fairness of the technical assistance program. The application process is seen by some as too complex, frustrating, too restrictive, and not rewarding enough (too little money).

7. Project directors generally report having considerable contact with USOE personnel. They generally value the help they receive from this source. Few suggestions were made for improving the help project directors receive from the state.

8. The evaluation process was generally well-received. The project directors usually felt that the evaluations were professionally done, comprehensive, ethical, fair, helpful, timely, accurate, needed and unbiased. Only one or two project directors (almost always the same ones) disagreed with these positive perceptions.

9. The suggesions for improvements in the Title IV-C program from the project directors centered on: provide more money, provide funding earlier in the year, simplify paperwork, and provide more services.

8. EVALUATION OF THE OPERATION AND EFFECTS OF TITLE IV - PART B EXPENDITURES IN UTAH

The Utah State Office of Education receives approximately 1.2 million dollars each year for Part B of Title IV. Ten percent of this Part B money goes to the 12 regional depositories based on the same formula described below for each Local Education Agency (LEA). The remaining 90 percent of the program money is distributed to the LEAs in Utah according to the formula which considers (1) the total number of students in the LEA (approximately 64 percent of funds are based on this factor; (2) number of students in each school who require extraordinary educational resources (about 18 percent of funds depend on this factor); and (3) number of schools within the LEA which generate more than their share of tax revenues (about 18 percent of funds depend on this).

With the exception of money generated by high cost of education and higher than average tax revenues, each superintendent has complete discretion, within Part B guidelines, where and how Part B money will be spent in that LEA. Money which is generated by high cost of education or higher than average tax revenues must be spent in the generating schools. The guidelines for Part B of Title IV stipulates that the money may not be spent on salaries of any kind. Instead, Part B resources must be used for library and media equipment, materials, and instruction resources.

To assist LEAs in determining where Part B money can be spent to the greatest advantage, the media specialist for the State of Utah has developed a management/evaluation system (referred to as the OPSCAN System) which is used extensively by most LEAs. The OPSCAN System (which is based on standards developed by various professional organizations concerned with media and library usage in the schools) is designed to assist individual LEAs in examining their current status, identifying critical needs, and establishing long and short range goals. The system depends on a series of OPSCAN forms completed by each school in the LEA to provide a school media profile in several areas (philosophy, personnel, facilities, equipment, and materials). The resulting profile can be used to determine the relative position of the school on an "ideal library and media usage scale," and assist administrators in deciding how money should be allocated to schools to improve their status.

The state media specialist for Utah monitors the use of Part B funds and provides technical assistance and inservice training to requesting LEAs. At least 10 percent of the LEAs are to be visited each year by the media specialist to assure that: expenditures are legal and purchases are being used legally, equipment and materials acquired have been properly inventoried, and the status and objectives reflected on the OPSCAN forms are accurate.

As part of a three-year evaluation process, ten districts in Utah were visited and their use and views on Title IV - B and OPSCAN System were described and evaluated during the 1980-81 school year. This report summarizes the purposes, procedures, and results of the evaluation and makes recommendations to State personnel on how to improve their administration of the Part B funds.

Focus of the Evaluation

This evaluation had three foci:

1) an audit of LEA conformance to federal and state guidelines for spending Title IV - B funds.

Each year the State media specialist visits at least 10 percent of the LEAs who receive Part B funding to verify that Part B money has been spent in conformance with federal guidelines for Title IV funding. Although this is a worthwhile and important activity, it was felt that such audits should also be made by external evaluators so that the State is not subject to criticisms of doing its own audits.

2) an evaluation of the current Part B evaluation/management system (OPSCAN).

A major emphasis of the current operation of Part B monies in Utah is the use of a series of OPSCAN forms to conduct needs assessment of media and library materials and to set short and long-range goals. This management/evaluation system is the primary vehicle provided by the State to be used by schools and LEAs in determining how to spend their Part B monies. This evaluation was designed to describe how the LEAs and the individual schools are using the OPSCAN forms and the system generally, and to discover ways that the system might be improved to be more useful to these individuals.

3) an analysis of the extent to which Part B media purchases have been integrated into the curriculum of schools in Utah.

A primary goal of the State media specialist is to have media, instructional materials, and equipment purchased with Part B monies integrated into the school curriculum so that they may become a viable and worthwhile resource for teaching. This evaluation considered the perceptions of school personnel about the importance of media purchases in general and media purchased with Part B funds particularly relative to the success of their teaching and the quality of the school's curriculum.

General Evaluation Method

The principal procedure or method used in the evaluation was a series of site visits to several different districts throughout the State. How these districts and schools within the districts were selected, as well as procedures used during the visits are described below. It was felt that making site visits would allow the evaluators to: a) observe the use of media in the schools, b) interview participants at the district and school levels regarding their perceptions of the importance of media in their curriculum, and c) gain first-hand information about the procedures LEAs use in allocating Title IV - B funds.

The personnel who conducted the site visits were Dr. David Williams and Dr. Richard Sudweeks, both of the David O. McKay Institute at Brigham Young University. These two evaluators were hired by the Wasatch Institute for Research and Evaluation to conduct the site visits and write this report.

Before Conducting the Site Visits

In this section of the report, the procedures for sampling, determining the issues of importance, constructing instruments, contacting school personnel, and arranging for visits to the districts and schools are summarized.

Sampling

There are forty (40) districts in the State of Utah. In the original proposal, the evaluators proposed to send questionnaires to twenty (20) of those districts regarding their use of the OPSCAN system. It was also proposed that site visits be conducted in ten (10) of the districts to determine how well media purchased with Title IV - B funds were being integrated into the curriculum. Five (5) districts were to receive audits of their compliance with Title IV - B guidelines.

It was determined that half of the districts would be selected for some kind of survey during the 1980-81 school year. The districts were listed in alphabetical order, a coin was flipped, and it was determined that all the even-numbered districts would be selected for participation this year. From those twenty (20) districts, a random numbers table was used to select the ten districts that would be visited by the evaluators. These ten (10) districts were to be surveyed regarding their use of the OPSCAN System as well as their opinions regarding the integration of media into the curriculum. The other ten (10) districts were to receive mail surveys only. Five of the districts which were selected to be visited were randomly selected to be audited. The results of this sampling procedure are summarized in Table 8.1

Preparation of Instruments

A series of meetings were held with Ken Neal, the State Media Specialist. One of the evaluators also accompanied him on one of his site visits to an LEA. Records in the State Office for each district (e.g., OPSCAN printouts, budgets, and assurances), Title IV - B and ESEA Title II (the predecessor of Title IV - B) evaluations conducted in other states, the federal regulations regarding Title IV - Part B, and instruments and a report written by the Rand Corporation in which they summarized an evaluation of the administration of Title IV - B across the United States were also reviewed. Based on these inputs, drafts of instruments were created. The instruments were designed to help the evaluators gather information regarding audit issues, the integration of media into the curriculum, procedures used to allocate and spend the Title IV - B funds, services provided to the LEAs by the State, and respondents' opinions of the quality and utility of the OPSCAN system and the Title IV - B program in general.

It was determined that three instruments were necessary: one to be used at the district level, combining questions addressing all the issues of interest, another to be used at the building administrators level (principals and media coordinators), and a third instrument to be used with the teachers. The district questionnaire was piloted in three districts and revisions were made. The revised instruments were then reviewed by Ken Neal and Karl White. Final copies of these instruments are included in the separately bound report of the Title IV - Part B Evaluation available from the State Office of Education.

Table 8.1

Districts Sampled

		Site Visit		
		Audit	Interviews	Mail Survey Only
1.	Alpine			X
2.	Box Elder		X	
3.	Carbon		X	
4.	Davis			X
5.	Emery			X
6.	Grand			X
7.	Iron	X	X	
8.	Juab	X	X	
9.	Logan			X
10.	Morgan		X	
11.	Nebo			X
12.	North Summit			X
13.	Park City	X	X	
14.	Provo	X	X	
15.	Salt Lake		X	
16.	Sevier		X	
17.	South Summit	X	X	
18.	Tooele			X
19.	Wasatch			X
20.	Wayne			X
Total	20	5	10	10

Contacting Respondents

A letter from Dr. LeRoy R. Lindeman of the Utah State Office of Education was written and sent to all districts in the State. Based on this letter of introduction, the evaluators contacted the superintendents of the 10 districts which had been selected for site visits. Through discussions with the superintendents, individuals were identified who could best provide information regarding the administration of Title IV - B in those districts. Permission was also gained to contact principals at two schools per district.

These schools were selected randomly with some stratification used to insure access to elementary, middle, and high school administrators and teachers. Telephone calls were made to principals of the selected schools and arrangements were made to interview the principals, media coordinators and a few teachers. Follow-up letters were written to confirm arrangements made by telephone with most of the people involved.

Before making the visits, the latest OPSCAN printouts for each district and each school which had been sampled were obtained. The evaluators also obtained copies of the official notification of grant awards, budgets, and compliance forms for each district.

Procedures During the Site Visits

Audits

As indicated earlier, five of the districts selected for onsite visits were to be audited as well as interviewed. Those five districts were Iron, Juab, Park City, Provo, and South Summit Districts. During the audit period of the site visits to these five districts, invoice files were reviewed and random items were selected for description and review. The evaluators tried to select three "material" items and three "equipment" items at each district. They described the items, reported how much they cost, and made a judgment as to whether the expenditures were consistent with federal guidelines. The evaluators also visited the two previously selected schools to conduct interviews and to continue the audit.

The continuation of the audit was to consist of an observation of the items which had been selected from the invoice files at the district office. Any purchase or usage violations of the federal guidelines were to be noted at this time. Often, these observations in schools were superfluous because it was obvious that the purchases met the guidelines and could not be used in any way that would be inappropriate.

Interviews

In addition to the audits, individuals at the district offices and two schools in those same five districts and five additional districts were interviewed as described earlier. First, interviews were made at district offices, often with the superintendent, sometimes with the federal programs director, sometimes with a district media specialist. Usually, only one Interview Guide for Site Visits to District Offices was completed per district.

Afterwards, the two schools that had been selected were visited. At the schools, the School Site Visit Interview Guide-A was used most often with the principal and the school media coordinator. Thereafter, visits were conducted with one to three teachers at each school using the School Site Visit Interview Guide-B.

The evaluators planned to create lists of the items that had been purchased with Title IV - B funds at each school to present to teachers while asking them about the use of these materials and equipment. However, the IV - B funds were often merged with other funds, specific items were purchased exclusively with Title IV - B funds and used only by one or two grades, and at a few schools, no purchases had been made by the middle of April for that fiscal year. Therefore, acceptable lists could not be created for asking teachers how they felt about the purchases made by Title IV - B funds. The interviews resorted to asking how teachers felt about media in general, independent of its funding source.

Several "audit" questions were asked as well as questions regarding the integration of media into the curriculum, procedures used for allocating Title IV - B funds, and opinions of the OPSCAN system. It was felt that although specific audit visits were made in only five districts, additional audit information could be gathered from the other five districts as well through these interviews.

RESULTS

Files containing all data from each district visited are available upon request. For purposes of this report, the results have been organized into seven categories: 1) audit issues (gathered during the five audits and during interviews in all ten districts), 2) IV - B allocation issues, 3) IV - B purchasing issues, 4) State Office services to LEAs, 5) the nature and value of IV - B to users, 6) the integration of media into the curriculum, and 7) comparisons between national results (as reported in the Rand report) and results for Utah.

Tables and figures summarizing the results are included in the appendices of the separately bound report of the Title IV - B Evaluation.

Rather than restate the results here, the reader may refer to that report to confirm the conclusions which _are_ reported here under seven subheadings.

Audit Issues

Although audits were conducted in only five districts, a considerable amount of audit-related information was collected from all ten schools.

1. Of the five audited districts, schools in two of the districts had made purchases that were judged inappropriate by Ken Neal, the State Title IV - B consultant (tests, polish for musical instruments, a computer terminal for retrieving information from the ERIC System, library checkout supplies).

2. Only about half of the districts and schools label the items purchased with IV - B funds. The others were not aware that labeling is required.

3. Nearly 80% of the building principals and media coordinators know what can be purchased with IV - B funds. Only half (50%) of the teachers are informed.

4. According to information collected in the interviews, IV - B funds are being spent on approved items only. About 33% of the funds are spent on printed materials, 31% on audio-visual materials, 35% on equipment and only 1% on text books. Although the evaluators' review of expenditures was limited, it confirmed these trends.

5. District-level administrators from only four (40%) of the districts clearly understood the components of the State formula for allocating IV - B funds to LEAs. If they do not understand the need to spend high cost and high tax effort funds on appropriate students, it is doubtful that they are doing so.

6. Only 2 (25%) out of 8 which received additional IV - B funds for high-cost students reported that they targeted those funds completely toward helping high-cost students. Failure to so target these funds is a violation of Federal guidelines. Although, as noted in the Rand Study, such violations occur frequently in other states also.

7. Private schools are informed of their right to receive benefits from IV - B. Out of the four districts reporting that they have private schools within their boundaries, funds were provided for non-public school students in only two districts. District representatives reported that private school students in those 2 districts do receive services from IV - B.

8. Only five (50%) district officials and six (32%) building-level administrators mentioned the OPSCAN system when they were asked if they conducted an evaluation of their IV - B program. The other five (50%) districts reported that they conduct no evaluation of the IV - B program. Six (32%) of the school administrators reported that they conduct their own informal evaluations, but seven (36%) said they do not evaluate this program in their buildings.

9. State staff are working to inform media personnel of the regulations. Visits to district offices and building media centers are being conducted regularly.

Allocation Issues

1. The median time spent by district administrators (superintendents or assistant superintendents in half the districts) for administering IV - B was 2.5% (mean percentage was 8.7%). They report that this time is definitely worth the benefit of IV - B funds.

2. Only three of the districts (30%) have district media committees that help the administrators allocate and spend the IV - B funds.

3. Districts allocate the IV - B funds to schools in several different ways. Representatives from all 10 districts (46%) of the respondents) reported that some funds are made available to every school to use however the school judges best. In 6 of the districts, district and school staff sometimes work together to spend the funds at both district and building levels according to 20% of the respondents. In four districts (according to 14% of the respondents), district officials specify categories in which schools may spend IV - B. In four districts (according to 10% of the respondents), funds are concentrated in certain schools to be spent by the school staffs. In only three districts (according to 8% of the respondents) have schools submitted proposals to district staff for developing media projects with IV-B funds.

The districts tend to allocate the IV - B funds in much the same way the funds are allocated to them by the State - on a per capita basis. When new building media centers are created, funds are sometimes concentrated in that school to improve the media holdings. These trends suggest that IV - B is considered to be an "acquisitions" fund in Utah.

4. Building-level administrators prefer that IV - B funds be allocated as they are.

5. Districts do not consider the State allocation formula or media guidelines (standards), the flexibility of IV - B, or special student needs to be very important factors influencing district allocation procedures. Although they receive requests from principals and teachers and rate that as the most important of several factors influencing allocation decisions, they usually allocate IV - B based on numbers of students in the school.

Purchasing Issues

1. Parties most involved in spending decisions are: 1) librarians/media coordinators, 2) teachers, 3) principals, and 4) district officials. Principals and media coordinators spend an average of 3.8% of their time on IV - B activities (purchasing, ordering, maintaining purchases, talking with teachers, etc.). They report that this time is definitely worth the IV - B funds received.

2. Although 40% of the district administrators and 42% of the building administrators reported that building media committees are somewhat involved in IV - B spending decisions, only one person, out of the 70 that were asked how they decide to what to purchase with IV - B, mentioned their building media committee. Formal committees composed of teachers, media coordinators, and principals meeting regularly do not exist or function as outlined by State guidelines.

3. However, teachers, principals and media coordinators are satisfied that they have sufficient influence on purchasing decisions via informal processes. Teacher and principal requests are rated as the most important factor in school spending decisions (x = 4.7 on a five-point scale), followed by "special student needs (x = 3.8) and State guidelines/suggestions (x = 3.0).

4. Still, there should be some concern. When teachers were asked to describe how purchasing decisions are made, teachers in only 2 schools (13%) were completely aware of how those decisions are made in their schools. Nearly 19% were not at all aware (in 3 schools) and 69% (in 11 schools) were only partially aware.

5. District and building-level administrators were asked to describe how they decide what materials and equipment to purchase with IV - B funds. They described a variety of procedures involving teachers, media coordinators, district and state administrators, principals and the OPSCAN system. In 7 districts (70%), the district either establishes categories (equipment or materials) in which schools may spend or the district administrators maintain approval authority for purchases schools want to make.

Representatives from only three districts (30%) reported that State officers advice and guidelines play an important role in purchasing decisions. Teacher requests (or reactions to suggestions by the media coordinators) were the most mentioned factor (by representatives from all districts and schools visited). Principals' knowledge about the budget and awareness of curriculum needs was the second most important factor, followed by the media coordinators/librarians' influence.

To summarize the process briefly, teachers and media coordinators receive literature advertizing equipment and materials. They use equipment and materials and are aware of the items they need to provide instruction. They talk informally (usually) among themselves. Sometimes catalogs or advertizements are circulated for teacher reaction. Infrequently, items are obtained on a trial basis. The principals share budget information (IV - B usually constitutes only a small fraction of that budget) with the faculty and/or the media coordinators. Teachers are asked to prioritize their needs to fit the budget and media coordinators make the purchases.

6. Only 30% of the LEAs (schools or district offices) visited (representing 6 of the 10 districts) mentioned the OPSCAN system in their description of how they decide what to purchase with IV - B. The OPSCAN system is not widely used in making purchasing decisions.

7. Although the OPSCAN system is not widely used for purchase-related decision making, the system is used. In response to open-ended questions about how the system is reacting and what its strengths and weaknesses are, 46% of the respondents reported that having to complete the OPSCAN scan sheets forces them to evaluate their media holdings, set priorities and plan their purchases. About 25% said the system alerts them to unusual needs; 29% said it helps them monitor their standing compared to State standards (guidelines). Only 11% (2 district officials and one school administrator) reported that they do not use the system at all. A major strength of the system is that it reminds people that they need to plan their purchases of media.

8. Very few districts or schools (18%) use the OPSCAN system to monitor their progress toward goals, to focus budget discussions (11%) or as a visual inventory tool (7%). About 14% reported that it confirms needs identified in other ways; but it is not used as a primary needs assessment tool. Teachers and media coordinators already know what they need to maintain the curriculum. Only a few of them (21%) suggested that it is a way to communicate those needs to others.

9. Specific questions were not asked about respondents' use and opinions of the OPSCAN guidelines (criteria in the bluebook) or the scan sheets. However,

based on their comments and responses to more general questions, it is estimated that 75% of them use the guidelines as intended - as optional standards across all types of schools which should be interpreted loosely in light of the needs of specific schools. About 11% (one district office and two schools) do not use the guidelines at all and about 14% are generally aware of them but not influenced by them.

10. Respondents in almost nalf (46%) of the LEAs visited suggested that the guidelines need revision. They explained that some of the categories are out-of-date, that some of the standards are unrealistically high and that media practitioners input might improve the range of categories.

11. Two (10%) media coordinators reported that they had been completing the OPSCAN sheets without adequate understanding of what the numbers (standards) meant. Only two others said they considered sompleting the OPSCAN sheets to be an opportunity to do a careful inventory; apparently, most individuals mentally update each OPSCAN sheet, depending on their memory, the printouts from a previous year or notes in the blue guideline book.

12. Based on respondents' comments, it is estimated that 54% of them do not use the OPSCAN printouts at all. District officials in four districts use them to compare schools; two officials just glance over the printouts, then pass them on to the schools. Four school media coordinators (21%) explained that they use the printouts only when they update subsequent OPSCAN sheets. Only one district official and three school officials (representing 14% of the LEAs visited) reported that they used the printouts to review the status of their media holdings.

13. Although they may not use the printouts or OPSCAN sheets as intended, the respondents are aware of the guidelines and use the system or some component of it. More people (nearly half) use the current status information (either from printouts, scan sheets, or their own notes which they were motivated to create by

the OPSCAN system) and the materials (46%) and equipment (32%) information than the one-year, 5-year, facilities, personnel and philosophy information. However, accurate estimates of frequency and nature of use cannot be made from this data set.

14. When asked how the OPSCAN system could be improved, 60% had no suggestions or said it was fine as is. About 36% suggested that the standards be updated and made more realistic. Two schools (7% of the LEAs) asked that the completion of OPSCANs be done less frequently. Two others (7%) asked to be better informed of how to use the system.

15. A review of the OPSCAN printouts revealed several types of inconsistencies in the ratings. In comparing five-year goals to ratings of current status, it was found that 37% (on the average) of the current status ratings were higher than the five-year projections (range was 16% to 63%). About 43% (average) of the one-year goals were found to be higher than the five-year goals (range 17% to 68%). In an average of 21% of the cases, the first-year goals were lower than the current status ratings (range 2% to 37%).

In 29% of the cases (7 schools and one district printout) the current status and one-year projections were exactly the same, suggesting that no goals were being set. In 18% (5 schools) of the cases, there were no five-year projections on the printouts.

These discrepancies suggest serious problems. Errors may be due to 1) coding mistakes, and shifting goals and budgets, 2) ignorance of the standards by people completing the scan sheets, or 3) the fact that the five-year goals are updated infrequently. Whatever the cause, the results are printouts that contain a lot of misleading and/or uninformative data.

16. It is estimated that in terms of materials, postage and computer time alone, the OPSCAN System costs about $500 per year. That is inexpensive, but

personnel costs are probably substantial (State Office processing as well as the time of people who fill out and handle the forms) and may make this system less than cost effective.

State Services

1. All ten district administrators reported that the State Office of Education provides IV - B technical assistance and rated it as very helpful. They had no suggestions for improving that service.

2. The State IV - B program officer is well known throughout the State. According to these respondents, they are visited by this officer or a staff member nearly three times (average) per year.

3. Respondents rated the State IV - B staff as competent in managing the IV - B program, expert in the subject areas (media), expert in local project management, and responsive to local needs and concerns. The respondents are pleased with the State IV - B staff.

4. However, when asked to what extent State IV - B staff or State publications influenced district plans or decisions about selection of schools to receive services, allocation of IV - B to schools, involvement of non-public schools, selection of equipment or materials for purchase and conducting needs assessments, the ratings were low (at or below 3.2 on a five-point scale with 1 = not at all and 5 = to a great extent). Again, this result has serious implications for the OPSCAN system since it and the guidelines associated with it are the State's primary tools for encouraging needs assessments, informed purchasing, involvement of non-public schools, etc.

Nature and Value of IV - B

1. About half the districts have used IV - B funds to supplement district-supported innovations or educational changes funded by other programs.

2. Only 30% have coordinated IV - B and IV - C project activities.

3. Only 20% of the respondents reported that lack of funds for local administration of IV - B has been a problem.

4. The State Office of Education reports that all districts have met the IV - B maintenance of effort requirements. The district administrators explained that when they have had a problem maintaining effort, the State officials have worked with them to alleviate the concern. For example, in four districts, new media centers were created and the following year it was impossible to maintain the level of effort that had been needed to develop a new center the year before. The State has accepted that situation as a case in which maintenance of effort is not required.

5. Respondents consider the IV - B program to be easy to administer, providing services and materials that could not be provided by the LEAs themselves, and allowing them to purchase items that they believe have increased academic achievement, and improved students' and teachers' attitudes.

Integration of Media into Curriculum

1. About 40% of the district administrators and 71% of the principals and media coordinators report that they know how extensively materials and equipment obtained with IV - B funds are used. However, when asked to describe their record-keeping systems, they acknowledged that accurate records of usage are not maintained. Their estimates are informal and subjective.

2. The respondents estimated that media materials and equipment generally are slightly more integrated into the curriculum this year than they were one year ago and somewhat more than five years ago. Teachers were more optimistic in their ratings than school or district administrators. By "integrated", they meant that teachers use media more and it has become a more fundamental tool in the curriculum.

3. Although respondents were insecure about their ability to judge, they estimated that items purchased with IV - B funds are less important to the quality of a student's education than a low teacher-student ratio and parent support. They estimated that these purchases are equally important as special programs such as music, sports and excursions.

4. They estimated that IV - B purchases are used 1) enough to merit their purchase, 2) for their intended purposes, and 3) to support specific curricular activities. They claim these items were not purchased as part of a non-focused acquisition process.

5. Teachers claim that items purchased with IV - B funds are critical to their teaching.

Comparisons With National Patterns in Rand Report

In a study conducted in 1978 for the U. S. Office of Education and the Department of Health, Education, and Welfare, the Rand Corporation (L. M. McDonnell and M. W. McLaughlin, 1980) studied state and local administration of Title IV - B in a national sample of districts.

A few results from that study are compared below to results from this evaluation. Many more comparisons could be made if the original data sets were obtained from Rand. Such comparisons did not seem to be worth the additional time and effort at this point. However, a few of the more pertinent conclusions are reported below.

1. Both the Rand study and this investigation found that LEAs consider IV - B to be flexible, easy to administer and a critical source of funds, especially in small schools.

2. Respondents in the Rand sample confirm the Utah respondents' claims that too little money is made available by IV - B to do very much project development.

Districts in most states, like in Utah, distribute funds fairly evenly across all schools instead of concentrating funds. They view IV - B principally as an acquisition service.

3. Like in Utah, State Officials throughout the nation view themselves as distributors of funds, auditors and consultant-advisors, rather than project designers or grant awarders.

4. Utah's allocation formula is about average. District administrators in Utah are slightly more (60% in Utah, 43% nationally) aware of the allocation formula than the average LEA administrator in 1978. Yet only 20% of Utah's sample LEA administrators, compared to 27% nationally, reported that funds received because of high cost students are "completely" targeted to those students.

5. Although items and services that could be purchased with IV - B funds changed from 1978 to 1981, Utah spent about the same proportion as the national Sample on printed and audio-visual materials. Utah spent more on equipment than the average state spent in 1978.

RECOMMENDATIONS

Based on the data collected during the IV - B evaluation, the following recommendations concerning future IV - B activities and operation are suggested.

1. Continue to clarify to administrators and teachers the federal guidelines for spending on Title IV - B funds and maintaining records of expenditures, perhaps in a newsletter as well as through personal visits.
2. Clarify what "high cost" means and communicate with district personnel to help them understand the state's formula for allocating IV - B funds
3. Officially acknowledge the acceptability of many degrees of formality for building media committees, as long as teachers have a clear opportunity to make their needs known.
4. Consider modifying and updating the OPSCAN criteria to better reflect unnecessary and burdensome paperwork budgets, technological advancements and the practices of users.
5. Consider less expensive ways to motivate users to review their status and needs. Perhaps collecting copies of the OPSCAN sheets without summarizing responses by district and without producing printouts at a central location would work. Many users rely on photo-copies of the OPSCAN sheets or their own records anyway.
6. Consider requesting the completion of the OPSCAN sheets less frequently, perhaps biannually, especially in the facilities, philosophy, and personnel categories.
7. Offer users the opportunity to revise their five-year goals every 2-3 years. Personnel, facility and technological changes often modify the five-year projections.

8. Consider providing OPSCAN printouts only for districts that request them, or maintaining the OPSCAN sheets at the district, rather than the state level.

9. Inform users more adequately of how to use the OPSCAN system as a needs assessment tool that will help them, not just state or district officials.

10. Conduct another evaluation study, perhaps as a continuation of this study to investigate LEAs' use of the OPSCAN system more completely. Many of the results reported here are based on responses to open-ended questions. Another 10 districts and a sample of their schools could be given a short questionnaire designed to obtain more systematic data relative to the claims of this evaluation study.

11. Several visits to LEAs should also be made to inventory the media holdings, compare those holdings to those reported on the OPSCAN printouts, inform LEA administrators more adequately of the federal and state regulations accompanying IV - B and label items purchased with IV - B funds.

12. A more ambitious cost-analysis study could be made of the OPSCAN system if costs could be better defined.

13. Search for ways to gather detailed data on the ways media are being used for instruction. The degree to which the media is integrated into the curriculum cannot be adequately studied until better data on use are available.

9. HISTORICAL EVALUATION OF THE IMPACT OF TITLE IV-C STRENGTHENING (TITLE V) FUNDS ON THE STATE EDUCATIONAL SYSTEM

The purpose of this project was to conduct an historical evaluation of the impact of Title IV-C Strengthening (Title V) Funds on the State Educational System. From 1974 to 1979, monies allocated under ESEA, Title V, to State Educational Agencies, were administered in conjunction with the Title IV administrative framework and were legally the responsibility of the Title IV State Advisory Council. During this time period, approximately $580,000 was allocated each year to the Utah State Office of Education for programs designated in the Title V plan. Monies for these programs went to support staff and provide resources for the Utah State Office of Education to develop programs in such areas as ethnic education, community education, curriculum development, technical assistance to LEAs, accreditation of schools, and programs for the handicapped. The evaluation of Title V was initiated as a result of recommendations from the external evaluation conducted by the United States Office of Education.

The historical evaluation was conducted by interviewing each of the Utah State Office of Education division directors who were responsible for the administration of Title V monies during this time period. The directors were interviewed to determine USOE personnel who were directly responsible for various projects which were undertaken with Title V money. Based on these interviews, the Utah State Office of Education staff, who were responsible for activities and products conducted or developed with Title V money, were interviewed to learn their perceptions and additional information about the impact of the various projects. Interviews with LEA personnel who were supposedly affected by the activities and projects were then conducted as well as an examination of the various products that have been developed with Title V monies.

The review of Title V planning and reporting documents and these interviews formed the basis for the historical evaluation.

Credibility and Management of Records

In an historical review that is heavily dependent upon available documentation, an initial important question must be posed; namely, are the records credible documents? This question is not concerned with the quality and implementation of activities, but rather deals with (1) the availability of, and (2) the consistency of the documentation.

Availability

The question posed was: To what extent were planning and reporting documents available for each of the six years? In two searches we were able to identify a planning and reporting document for each year, with the exception of 1975. At that time a reporting document was not required by the Federal Government. These records were all centrally located and managed by Bernarr Furse's office. We were impressed with the speed and courtesy of the responses to requests for specific documents. Both the completeness of the documents and the ease of retrieval suggest a well-managed system of records.

Consistency

To assess consistency, the following steps were taken. Each planning document for each year was analyzed into areas of:

a. administration;

b. curriculum development and dissemination;

c. staff development, and

d. technical assistance.

Each of the areas was then broken down into specific activities. For the years 1975-1980, 43 specific leadership activities were identified in the planning documents. The reporting documents were then analyzed to determine to what degree the activities were followed through in their respective reports. We found the reporting documents did address all but two of the activities listed in the planning documents. This is an unusually high level of consistency across planning and reporting documents. It is quite common for unattempted or unsuccessful activities to be deleted from report documents. We were impressed with the frankness of the reports in relationship to unattempted or unsuccessful activities. Although there were not a large number of such activities, they were acknowledged in an open manner, and no attempts were made to modify report formats to diminish or disguise results relating to unattempted or unsuccessful activities.

Conclusion

Credibility and management of records. Based on (1) the ease of retrieval, and (2) the consistency across planning and reporting documents, we felt we were using a well-managed and credible set of documents as a base for further analysis.

Appropriateness of Activities

In assessing the nature of the activities, the question posed was: Are the activities valid leadership strengthening activities?

This was a difficult question to research because of the lack of clear federal criteria. The federal guidelines essentially accepted any activity which resulted in change. We felt this was too inclusive and a questionable frame of reference. Change can be achieved by a variety of means--some productive and some of questionable long-term value.

The State Office of Education policy document, "The Role, Mission, and Function of the Utah State Board of Education," describes three major functions of the State Office of Education, namely, (1) leadership, (2) service, and (3) control functions. While all three of these functions would be acceptable activities under the broad federal definition, the state definitions of leadership, service and control functions provide the basis for a more qualitative analysis of the activities conducted as leadership strengthening activities. The first step in the analysis of specific strengthening activities was a categorization of each activity in terms of the specific leadership, service and control functions. Each activity was classified in terms of its relationship with a specific leadership service or control function. The analysis of the relationship between SBE functions and the leadership strengthening activities are presented in the following section.

Focus of Strengthening Activities

Administration. The frequency of relationships with the different functions were distributed across all three areas, with 47 under leadership, 35 under service, and 6 under control functions. There was a clear emphasis on leadership functions with an emphasis on specific leadership functions concerned with (1) involving citizens in setting goals, (2) identifying emerging needs on a systematic and continuous basis, and (3) collaborating with lay groups in planning to meet needs.

The service functions were stressed, but to a lesser extent than the leadership functions. The specific service function most often stressed was the provision of technical assistance. In the administrative area, control functions received a very minor emphasis.

Curriculum development and dissemination. In this area the major emphasis was on service functions. The most common service functions related to the development and dissemination of curriculum materials. The most common control functions were the provision of course-of-study guides and conduct of in-service training programs in the use of guides.

Staff Development. Staff development activities most stressed were leadership and service functions with no examples of control functions. The leadership function stressed most often was the provision to school personnel of knowledge on new products and practices.

The service functions stressed most often were (1) the provision of help in identifying problems, and (2) the provision of consultants for specialized problems.

Technical assistance. In this area, service and control functions received a major and similar emphasis. The most commmon service function stressed was the provision of technical assistance. The most common control functions stressed were (1) the setting of standards to be met in the operation of the public schools, and (2) the evaluation of programs.

Conclusion

Appropriateness of activities. In analyzing this data, one develops the image of a State Office of Education staff that is:

a. concerned with the input of citizens;

b. interested in systematic planning to deal with needs;

c. concerned with the provision of assistance to districts in dealing with problems, and

d. concerned with the provision of help to districts through in-service training, the supply of curriculum materials and the availability of specialized consultants.

The major emphasis on leadership and service functions, and the minor emphasis on control functions suggests a supportive administration rather than an authoritarian approach to leadership.

Interview Procedures

The collection of valid feedback from participants in leadership strengthening activities posed some major methodological problems to the evaluators because leadership strengthening monies have been expended on a wide range of diverse activities rather than on large single objective efforts.

Participant feedback poses a problem, particularly in historic evaluations such as this. The problem may be clearly exemplified by looking at the responsibilities of the curriculum development and dissemination unit. Here there was an extensive number of contacts of limited duration. It would be questionable, from a cost effective point of view, to do detailed follow-ups of a participant who took part in a half-day workshop two or three years back.

In an effort to minimize some of the evaluation problems, the following procedures were adopted:

1. A telephone interview process was selected. This was chosen over the face-to-face interview because the modest amount of funds available would not have provided for the extensive travel necessary to interview a representative sample. It was also felt that the flexibility of the telephone interview process in terms of timing would have resulted in considerably less disruption to the activities of the participants.
2. It was decided to collect interview data only on activities completed during the past two years. It was felt that the more recent activities would allow for more accurate responses on the part of interviewees.
3. We elected to emphasize those activities in which there had been substantial contact and not to conduct interviews on activities where participant contact had been relatively small.

In keeping with the above listed frame of reference, the following interview activities were conducted:

1. A telephone questionnaire was developed and reviewed by staff from the Wasatch Institute for Research and Evaluation.
2. The prototype instrument was then forwarded to State Board of Education staff for their feedback.
3. After the reviews and field-testing of the instrument, final modifications were made and the interview process begun.

The first step in the interview process was to contact senior administrators in the State Board of Education in the major activity areas of (a) administration; (b) curriculum development and dissemination; (c) staff development, and (d) technical assistance. Their help was solicited in identifying a pool of recent leadership strengthening activities in which there had been a comparatively large amount of participant contact. A copy of the interview questionnaire was also provided to these administrators and their suggestions were sought relating to potential problems that might be encountered in the interview process. We received extensive and prompt support from the administrators and then proceeded to conduct the specific interviews.

State Board of Education Staff Interviews

The first set of interviews was conducted with State Board of Education staff directly responsible for the implementation of selected activities. From these staff we sought feedback relating to such areas as (a) their rating of the relative importance of the activity; (b) their impressions of the impact on leadership personnel; (c) their perceptions of the impact on pupils in the state system, and (d) their perceptions of the degree to which impact of the activities had been maintained.

Field Personnel Perceptions

The second level of the interview process was to identify and interview the field personnel associated with each leadership strengthening activity. Where possible, we sought to interview at least two field people for each activity selected for the interview process. This was not always possible; however, at least one field participant interview was conducted for each activity. In the case of extensive activities involving large numbers of people, we conducted several field participant interviews.

We were pleased that we were able to get information from as many people as we did. We were also impressed with the openness and frankness of the responses. With regard to field personnel, we offered them anonymity and have coded all data to ensure this commitment.

In establishing the interview procedures and conducting the associated analyses of the interview data, we used a discrepancy approach. Questions relating to relative importance, leadership impact, pupil impact and maintenance of impact were asked in similar form to both the State Office of Education administrators responsible for implementation of the leadership activities and to field personnel who were participants in those leadership strengthening activities.

Using this data, information could be obtained relating to the following questions:

1. What were the perceptions of State Office of Education administrative personnel relating to the relative importance, leadership impact, pupil impact and maintenance of impact of leadership strengthening activities?
2. Regarding the same variables of relative importance, leadership impact, pupil impact and maintenance of impact, what were the perceptions of field personnel who participated in leadership strengthening activities?

3. Was there a difference between the two groups (State Office personnel and Field personnel) with regard to peceived importance of the activities?
4. Was there a major difference in terms of relative importance between State Office of Education personnel and field personnel?
5. Were the observations of State Office of Education personnel relating to leadership impact, pupil impact, and maintenance of impact consistent with the perceptions of the field personnel who participated in those leadership strengthening activities?

Interview Questions and Results

1. What were the perceptions of State Office of Education administrative personnel and field personnel who participated in the activities about the relative importance of activities, leadership impact, pupil impact, and maintenance of impact from leadership strengthening activities?

   Administrators from the State Office of Education and field personnel were asked to rate the leadership activities in terms of their importance, perceived impact on leadership personnel and pupils, and maintenance of impact. Results of these ratings for both groups are shown in Table 9.1.

Table 9.1

Results of Ratings by Administrative and Field Personnel

About the Importance and Success of Leadership Activities

	Perceived Importance of Activity	Impact of Activity on Leadership Personnel	Impact of Activity on Pupils	Maintenance of Impact from Activity
State Office of Education Administrative Personnel	1.09	1.75	1.98	1.32
Field Personnel	1.22	1.91	2.27	1.80
Difference	-.13	-.16	-.29	-.48
	1 = Top 25% 2 = 50-75% 3 = 25-50% 4 = 0-25%	1 = Highly Successful 2 = Above Average 3 = Average 4 = Below Average 5 = Unsuccessful	1 = Highly Successful 2 = Above Average 3 = Average 4 = Below Average 5 = Unsuccessful	1 = Maintained & Increased 2 = Maintained 3 = Decreased Slightly 4 = Decreased Considerably 5 = No longer exists

2. Were the observations of State Office of Education personnel relating to leadership impact, pupil impact and maintenance of impact consistent with the perceptions of field personnel who participated in these leadership strengthening activities? Data from State Office personnel perceptions and field personnel perceptions were compared to determine if there was a difference between perceptions. With regard to the perceived importance of the activities, there was a difference of .13. This is a comparatively minor difference. One could not expect State Office personnel to conduct activities that would be equally and of high importance to all participants. This relatively small difference of .13 suggests that the activities chosen by State Office administrators were consistent with the perceived needs of the field personnel.

There was a difference of .16 between the perceptions of State Office personnel and field personnel regarding the success of the activities in impacting on leadership personnel. This finding suggests that State Office personnel were in touch with their audience and aware of the degrees to which their leadership strengthening activities were impacting on participants.

The difference between perceptions relating to the success of leadership strengthening activities at the pupil impact level was .29. While this difference is not extremely large it does indicate that field personnel had a lower assessment of the impact of the leadership strengthening activities on pupils.

In terms of maintenance of impact, there was a difference of .48. This was the largest difference between the two groups. While it does appear that State Office personnel's perceptions differ from those of field personnel, it should be noted that the lower estimate of 1.80 by field personnel is still a respectable rating in that field personnel felt that the impact of the leadership strengthening activities had maintained.

Overall Findings

Based upon the combined information from the analysis of the records, reports, and other documents relating to leadership strengthening activities during the past five years, and based upon the interviews conducted with State Office of Education personnel and field personnel who participated in the leadership strengthening activities, the following findings are offered:

1. There appears to be a willingness and openness on the part of State Office of Education personnel to look to citizens, pupils, and district educators in an effort to identify needs and establish priorities.
2. There is a strong and rational relationship between identification of needs and the selection and implementation of activities. State Office of Education personnel appear to be conducting activities perceived important to the educational community of the state.
3. State Office of Education personnel appear to have a realistic estimate of the impact of leadership strengthening activities on district personnel. A discrepancy exists between the perceptions of State Office personnel and field personnel with regard to impact of leadership strengthening activities on pupils and the maintenance of these impacts. In general, State Office of Education personnel appear to be overestimating these pupil impacts compared to the perceptions of field personnel.

Suggestions for Changes

There appear to be no major deficiencies in the selection and conduct of leadership strengthening activities. A detailed review of the data will reveal a number of minor problems and differences among the various administrative units. There is only one area of deficit that appears consistently in the data. This deficiency relates to awareness of pupil impact data. Analysis of the report documents indicates that very little documentation was provided on potential and measured pupil impacts. An analysis of the activities in relationship to State Office of Education functions indicates a comparatively low priority to the leadership function requiring State Office of Education personnel to keep the public informed on pupil progress.

The interview data also indicated that the biggest difference of opinion between the perceptions of State Office and field personnel related to pupil impact and maintenance of impact. It is recommended that State Office of Education administrators consider the potential impact of the activities on pupils as a part of their planning process by documenting the manner in which the pupil impact will occur, and with regard to the more extensive activities, prepare procedures for assessing the degree to which pupils have been impacted and the degree to which this impact is maintained over time.

Conclusion

The data leave little doubt that the Utah State Office of Education has been consistently conducting valid leadership strengthening activities for years 1975-80. The conduct of these activities has been characterized by systematic planning and supportive leadership practices.